**DEPARTMENT OF DEFENSE**

# GOVERNMENT PURCHASE CARD PROGRAM
# PURCHASE CARD ON-LINE SYSTEM

# Data Mining and Risk Assessment for DoD PCOLS

**JIM TEW**
PCOLS SUPPORT OFFICE
DLA – ESMC PORTFOLIO
BATTLE CREEK, MI

THURSDAY, AUGUST 4, 2016
2:00 P.M. – 3:10 P.M.

# BEFORE WE GET STARTED

- **Training Forum Reminders**
  - Cell Phones silenced
  - Show courtesy to fellow participants and the presenter
  - Questions
  - Class Surveys
- **Other PCOLS and U.S. Bank related opportunities**
  - Accounting Code Management Fundamentals
    - All DoD Attendees, Thursday, Aug 4th 3:30 p.m. – 4:40 p.m.; salon 1
  - DoD PCOLS Training – Open Lab
    - Thursday, Aug 4th 8:00 a.m. – 5:00 p.m.; salon 13

# PURPOSE & AGENDA

**Purpose: Provide an overview of the Data Mining application and the Risk Assessment Dashboard (RAD). Agenda topics include:**

- **Data Mining**
  - Overview
  - Emails
  - Login/navigation
  - Case Details/Review Questions
- **RAD**
  - Overview
  - Dashboard
  - Controls
  - Drill down examples
  - Quarterly Reports
- **Help and Support**

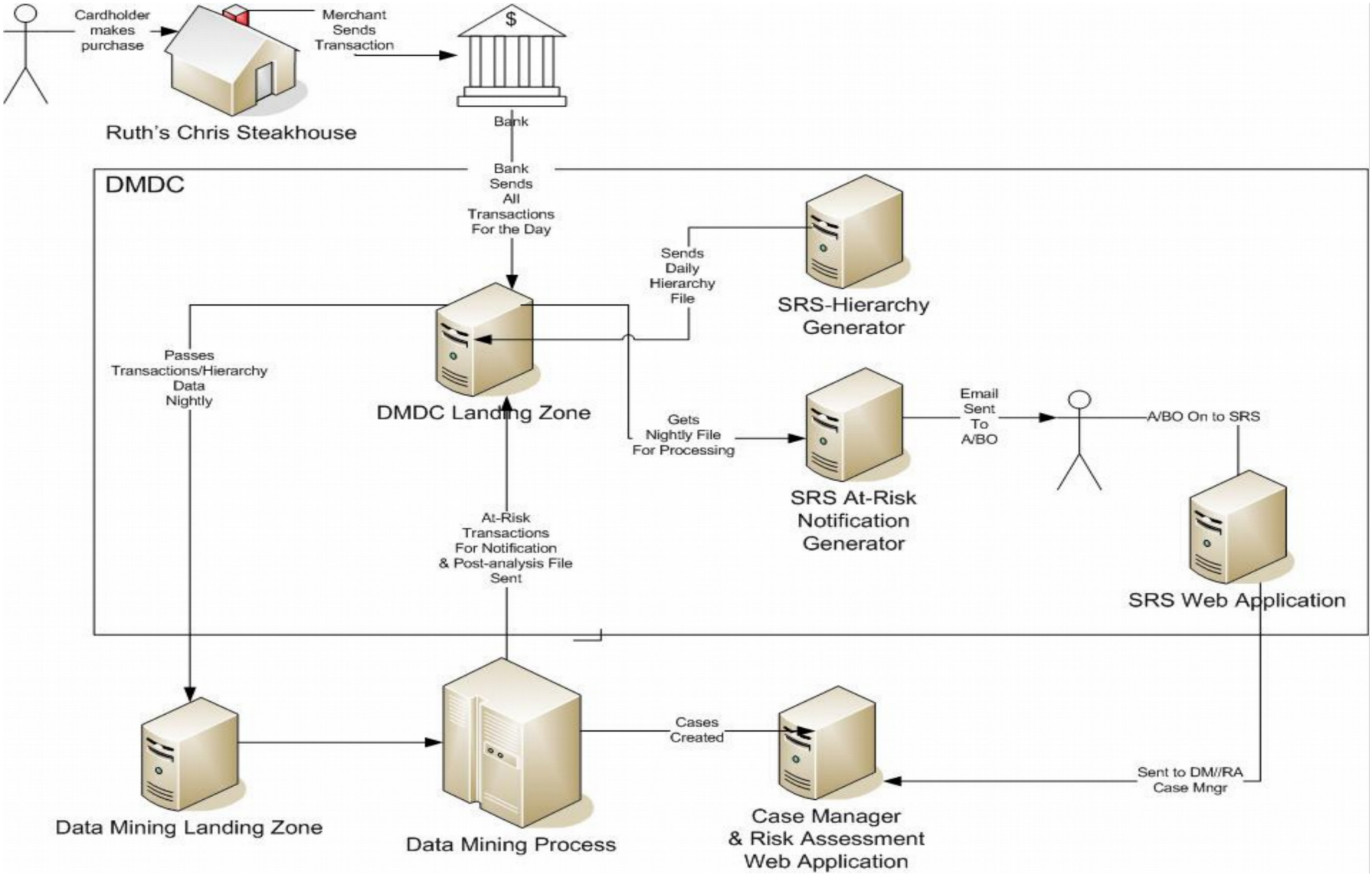
# PCOLS Data Mining Overview



- **Risk Predictive Model focuses on first party misuse**
- **Email notifications to associated users provides increased visibility within the GPC program**
- **Case Manager provides user interface to disposition flagged transactions**
- **Read Only (Audit) Role established November 2013.**

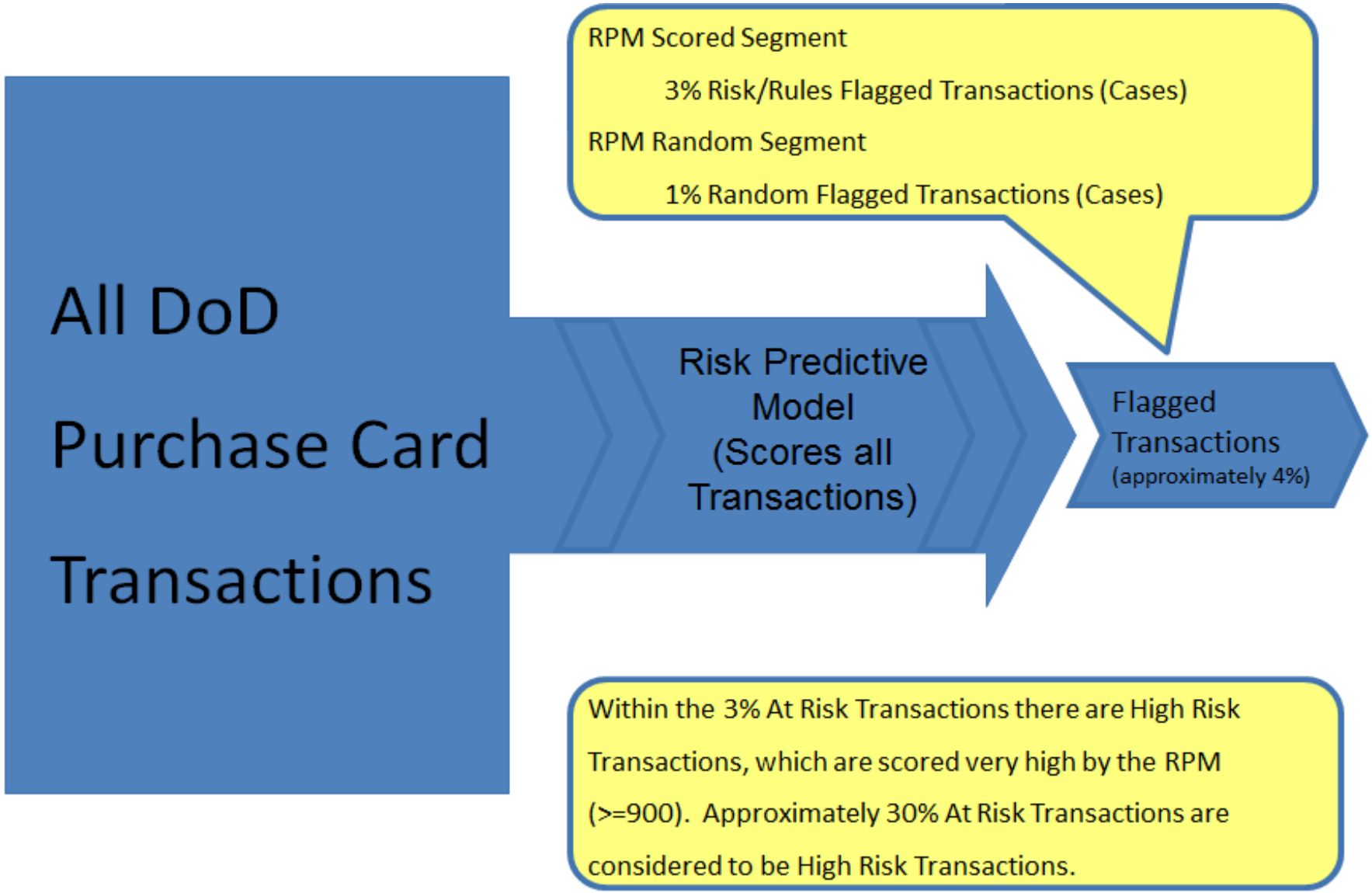
# PCOLS Data Mining Overview





# PCOLS Data Mining Overview




All DoD
Purchase Card
Transactions
Risk Predictive Model (Scores all Transactions)
Flagged Transactions (approximately 4%)
RPM Scored Segment
3% Risk/Rules Flagged Transactions (Cases)
RPM Random Segment
1% Random Flagged Transactions (Cases)
Within the 3% At Risk Transactions there are High Risk Transactions, which are scored very high by the RPM (>=900). Approximately 30% At Risk Transactions are considered to be High Risk Transactions.

# PCOLS DM FLAGGED TRANSACTION NOTIFICATION EMAIL



Only identified as Flagged Transaction – no distinction between Risk/Rules or Random. Also, no indication of High Risk.

A/BO, Alternate A/BOs, and A/BO Supervisor are notified

From: <PCOLS_noreply@dmdc.osd.mil>
Date: Thu, Feb 9, 2012 at 9:57 AM
Subject: [PCOLS DM ACTION] Flagged Transaction
To: jh@sterlingheritage.com
Cc: John.Smith.CTR@osd.pentagon.mil

In accordance with MID 904, the Department of Defense has developed a data mining capability to identify purchase card transactions at risk of fraud, misuse or abuse. Additionally, a small number of transactions have been randomly selected to assist in the refinement of the application.

The following transaction in your Managing Account has been selected for review:

Cardholder Account Number: **********1361
Cardholder Name: John K Randolph
Primary A/BO Name: James Herbert
TBR Hierarchy: 47163-00005-00055-05555-24435
Case Number: 770831
Transaction ID: 004ae62d1000e33d
Date of the Transaction: 09-24-2009 03:37:00
Merchant Name: XTESTSHOPXCHNOLOGIES
Transaction Amount: $2,972.38

You are required to initiate and complete a review of the subject transaction. If action is not taken in a timely manner, the transaction will be forwarded to your Agency/Organization Program Coordinator for their action.

To review the transaction, click on the following link:
https://pki.dmdc.osd.mil/appj/pcols-web/CACAuthenticateAction.do?newSession=true&case_num=770831

Direct link to the case

For account-related inquiries, please contact your designated Agency/Organization Program Coordinator. For PCOLS technical support, including system access, please contact the PCOLS help desk at the following phone numbers.

. US (CONUS) - Commercial (toll-free): 1-800-376-7783
. OCONUS - DSN: 661-7307
. Direct dial: 269-961-7307

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Purchase Card Online System - https://pki.dmdc.osd.mil/appj/pcols-web/

# PCOLS DM FLAGGED TRANSACTION HIGH RISK EMAIL



Notification sent when the case is flagged and when initial A/BO notification is made.

From: <PCOLS_noreply@dmdc.osd.mil>
Date: Tue, Oct 29, 2013 at 9:54 AM
Subject: [PCOLS DM ACTION] High Risk Transaction
To: PCPO.CIV@mail.mil

In accordance with MID 904, the Department has developed a data mining capability to identify purchase card transactions at risk of fraud, misuse or abuse. Additionally, a small number of transactions have been randomly selected to assist in the refinement of the application.

The following transaction was selected for review:
Cardholder Account Number: *5955
Cardholder Name: Drew Terry
Primary A/BO Name: Matthew Hayes
TBR Hierarchy: 47163-00021-00999-40919-42248
Case Number: 1997623
Transaction ID: 0052386e750428dc
Date of the Transaction: 09-24-2013 04:04:06
Merchant Name: WKH*PHARMACY ONESOURCE
Transaction Amount: $2,500.00
Score assigned to the Transaction by the DM Model: 912

Model Score displayed

The transaction was sent to the Approving/Billing Official for their review. However, due to the high risk of this transaction (i.e., very high transaction score) a review by an individual other than the Approving/Billing Official is warranted.

Upon A/BO completion of their review of the transaction, the A/OPC is required to complete an independent review of this transaction.

To review the transaction:
1. Access PCOLS using the link below.
https://pki.dmdc.osd.mil/appj/pcols-web/CACAuthenticateAction.do?newSession=true&case_num=1227623
2. Authenticate yourself using your Common Access Card (CAC)
3. Select your role associated with this account (TBR Hierarchy 47163-00021-00099-40019-42248).

For PCOLS technical support, including system access, please contact the PCOLS help desk at the following phone numbers.
. US (CONUS) - Commercial (toll-free): 1-800-376-7783
. OCONUS - DSN: 661-7307
. Direct dial: 269-961-7307
PCOLS Logon: https://pki.dmdc.osd.mil/appj/pcols-web/
PCOLS user manuals and training material can be downloaded from the Defense Acquisition University (DAU) website: https://acc.dau.mil/pcols

# PCOLS DM FLAGGED TRANSACTION ESCALATION EMAIL



-----Original Message-----
From: PCOLS_noreply@dmdc.osd.mil [mailto:PCOLS_noreply@dmdc.osd.mil]
Sent: Tuesday, February 09, 2016 9:51 AM
To: morris.a.mcillwain.civ@mail.mil; Tew, James II DLA CIV INFORMATION OPERATIONS;
Subject: [PCOLS DM ACTION] Escalated Flagged Transaction

The Approving/Billing Official (A/BO) was sent the following email and a second request for action. The action was also escalated to the Agency/Organization Program Coordinator and the Level 3. To date, the review has not been initiated. Please contact the A/BO to facilitate their action. To avoid further escalation, timely action must be taken.

The following notifications were sent previously for this case.
A/BO Initial Review: Aaron (aaron.mil@mail.mil) 12-16-2015 19:04:50 PST
A/BO Reminder: Laura (laura.civ@mail.mil) 01-01-2016 09:33:23 PST
A/OPC Escalation: Barbara (barbara@us.army.mil) 01-09-2016 09:11:58 PST
A/OPC Reminder: Barbara (barbara@us.army.mil) 01-16-2016 11:25:51 PST
HCA Agent Escalation: GUY (guy.civ@mail.mil) 01-26-2016 07:04:24 PST
HCA Agent Reminder: GUY (guy. civ@mail.mil) 02-02-2016 06:55:52 PST

Escalation emails list all individuals that were sent notification emails from A/BO Initial email through the level of escalation. Email address, date and time stamp are listed for all.

= = = = = = = = = = = = = = = EMAIL NOTIFICATION = = = = = = = = = = = = = = =

In accordance with MID 904, the Department of Defense has developed a data mining capability to identify purchase card transactions at risk of fraud, misuse or abuse. Additionally, a small number of transactions have been randomly selected to assist in the refinement of the application.

The following transaction in your Managing Account has been selected for review:

Cardholder Account Number: *6716
Cardholder Name: Cardholder Name
Primary A/BO Name: A/BO Name
TBR Hierarchy: 47163-00021-00056-05181-34620
Case Number: 1714915
Transaction ID: 005654898704b7f5
Date of the Transaction: 12-10-2015 05:16:17
Merchant Name: VERTICAL SUITS
Transaction Amount: $1,359.47

You are required to initiate and complete a review of the subject transaction. If action is not taken in a timely manner, the transaction will be forwarded to your Agency/Organization Program Coordinator for their action.

You must perform the following steps to complete a review of this transaction:
1. Access PCOLS using the link below.
https://pki.dmdc.osd.mil/appj/pcols-web/CACAuthenticateAction.do?case_num=1714915&newSession=true
2. Authenticate yourself using your Common Access Card (CAC)
3. Select your role associated with this account (TBR Hierarchy 47163-00021-00056-05181-34620).
4. Complete the case review.
5. Enter a disposition and, if required, the planned action. If additional research is required, you may select a disposition of "Under A/BO Review" and return at a later time to enter the correct disposition of the case.
6. Click Save to complete the case review.

The following users in organization RSTB RANGER 34026 are authorized to complete the review of this transaction for Managing Account *3443:
Primary A/BO: Michael
Alternate A/BO: Aaron
A/BO Supervisor: Sean
A/BO Supervisor: Joshua

Users with access to perform the case review are listed.

If this information needs to be updated, please contact your designated Agency/Organization Program Coordinator to have necessary user changes completed in EMMA and AIM.

# PCOLS DM Email Issues



- DM Notification emails are delivered to the email address captured from the non-email certificate on your CAC
- Email address updates are accomplished in RAPIDS Self Service (RSS)
  - AIM “Profile” tab
  - Direct RSS link: https://www.dmdc.osd.mil/self_service/
- RSS address update job aid link: https://acc.dau.mil/CommunityBrowser.aspx?id=718306&lang=en-US

- *Email forwarding may be an another option if you are using a legacy email account and can’t change the email address in RAPIDS Self Service

# DM Flagged Transaction Escalation Schedule



## New Case Notification Schedule

| | When | PCOLS/SRS Sends Email to… | # of Business Days Elapsed |
|---|---|---|---|
| Send initial referral to PCOLS | Newly flagged case | Primary A/BO, Alternate A/BO, & A/BO Supervisor | 0 |
| Send referral #2 if no action | After 10 days once initial referral sent | Primary A/BO, Alternate A/BO, & A/BO Supervisor | 11 |
| Send referral #3 if no action | 5 days after referral #2 | A/OPCs & A/OPC Supervisor | 16 |
| Send referral #4 if no action | 5 days after referral #3 | A/OPCs & A/OPC Supervisor | 21 |
| Send referral #5 if no action | 5 days after referral #4 | Level 3s | 26 |
| Send referral #6 if no action | 5 days after referral #5 | Level 3s | 31 |
| Send referral #7 if no action | 5 days after referral #6 | Level 2s | 36 |
| Send referral #8 if no action | 5 days after referral #7 | Level 2s | 41 |
| Send referral #9 if no action | 5 days after referral #8 | PCPMOs | 46 |
| Send referral #10 if no action | 5 days after referral #9 | PCPMOs | 51 |
| No further referrals sent | | | |

Note: All intervals are in terms of business days

Notify A/OPCs earlier in the escalation cycle

## Pending Case Notification Schedule

| | When | PCOLS/SRS Sends Email to… | # of Business Days Elapsed |
|---|---|---|---|
| Case set to Pending | N/A | N/A | 0 |
| Send referral #1 for pending case | After 10 days once set to pending | User who set to Pending (Sent in notification as EDIPI) | 11 |
| Send referral #2 for pending case | 5 days after referral #1 | Pending User + 1 Escalation | 16 |
| Send referral #3 for pending case | 5 days after referral #2 | Pending User + 2 Escalation | 21 |
| Send referral #4 for pending case | 5 days after referral #3 | Pending User + 3 Escalations | 26 |
| Send referral #5 for pending case | 5 days after referral #4 | Pending User + 4 Escalations | 31 |
| No further referrals sent | | | |

Note: All intervals are in terms of business days

Closed Case emails are being sent to A/OPCs

## High Risk Case Notification Schedule

| | When | PCOLS/SRS Sends Email to… | # of Business Days Elapsed |
|---|---|---|---|
| Send initial referral to PCOLS | N/A | A/OPC & PCPMOs | 0 |
| No further referrals sent | | | |

# PCOLS DM LOGIN/NAVIGATION



- **Log into Data Mining through the link in the Notification Email (First Option)**

Only identified as Flagged Transaction – no distinction between Risk/Rules or Random. Also, no indication of High Risk.

A/BO, Alternate A/BOs, and A/BO Supervisor are notified

From: <PCOLS_noreply@dmdc.osd.mil>
Date: Thu, Feb 9, 2012 at 9:57 AM
Subject: [PCOLS DM ACTION] Flagged Transaction
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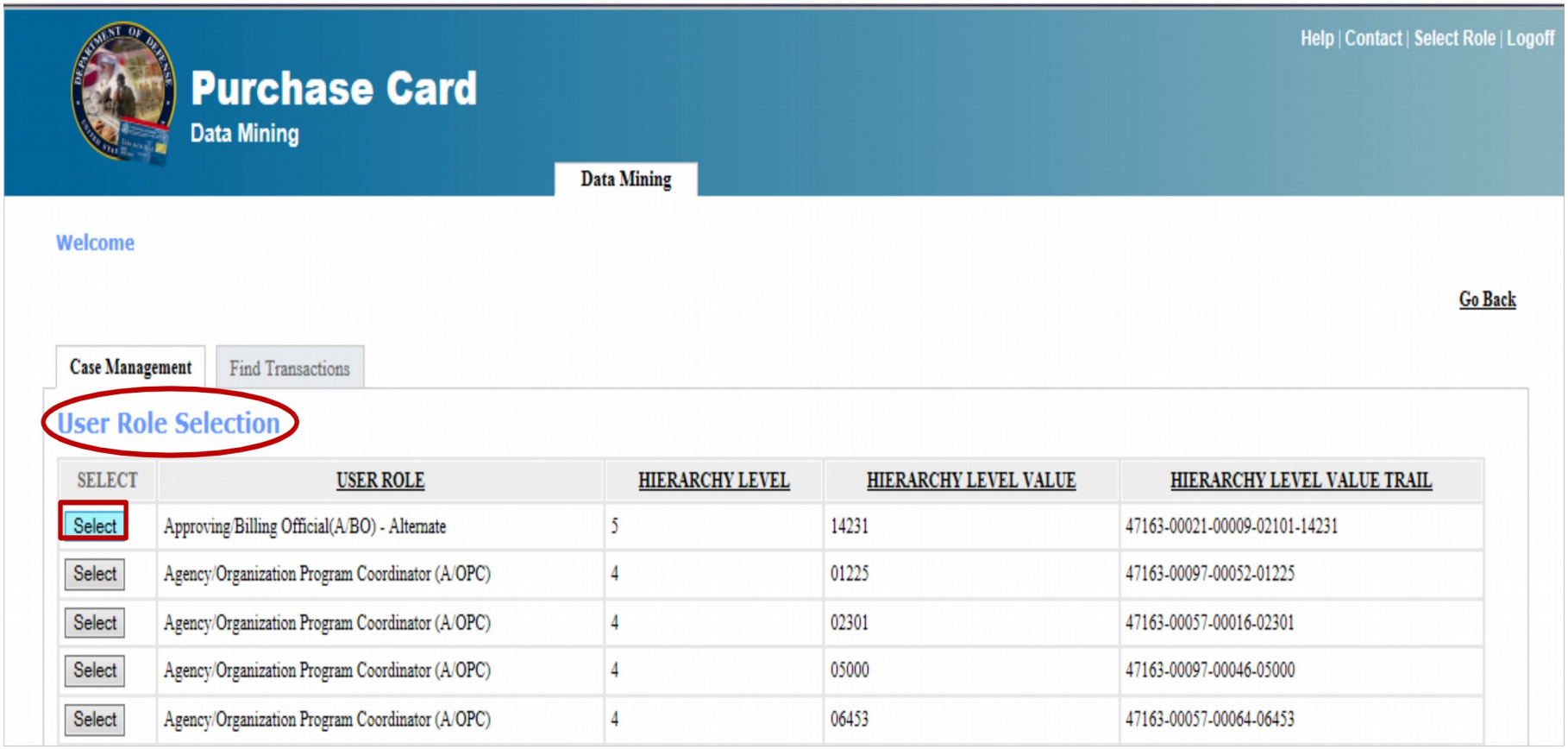
# PCOLS DM LOGIN/NAVIGATION



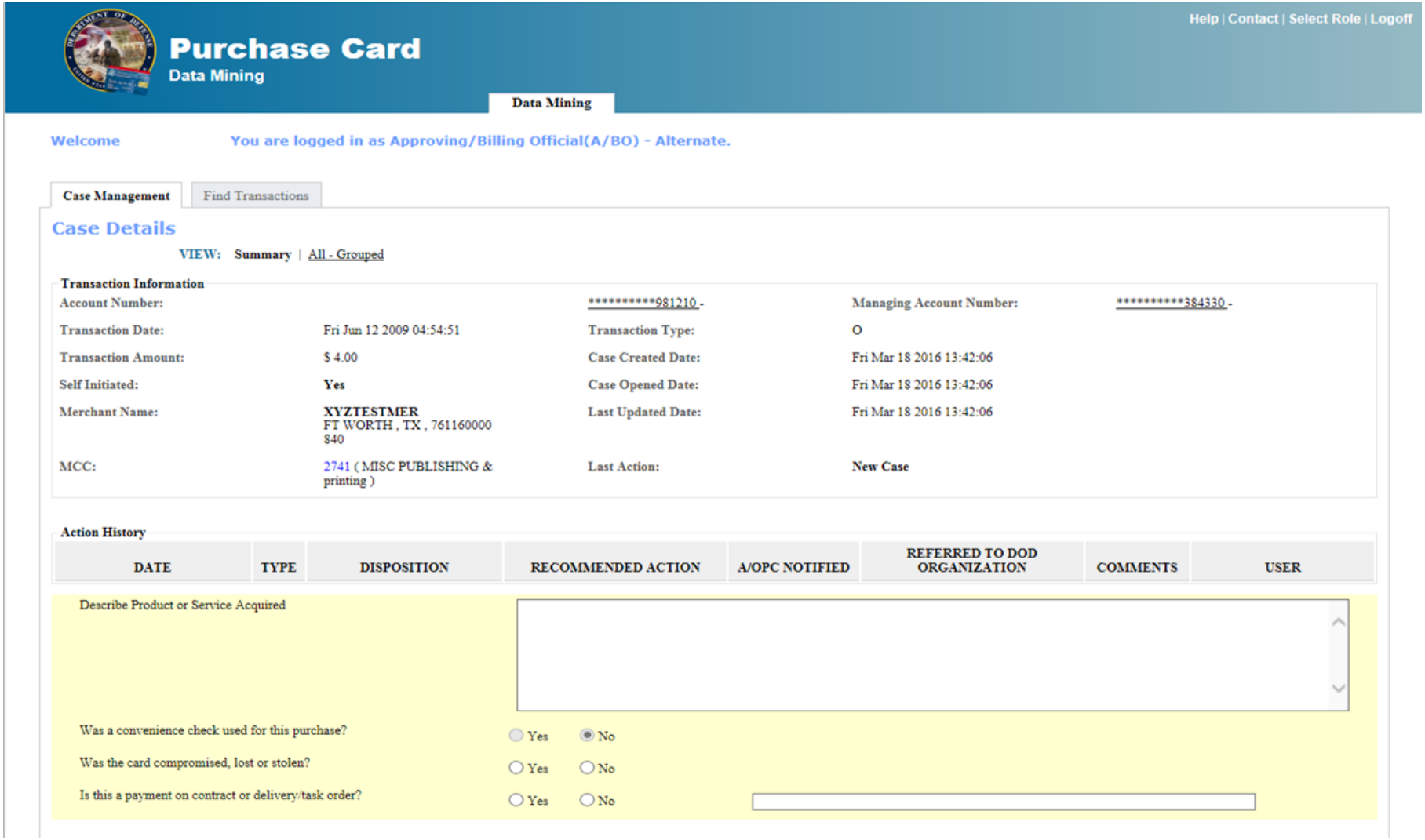
- **Each role logs in at the appropriate hierarchy level**



# PCOLS DM LOGIN/NAVIGATION



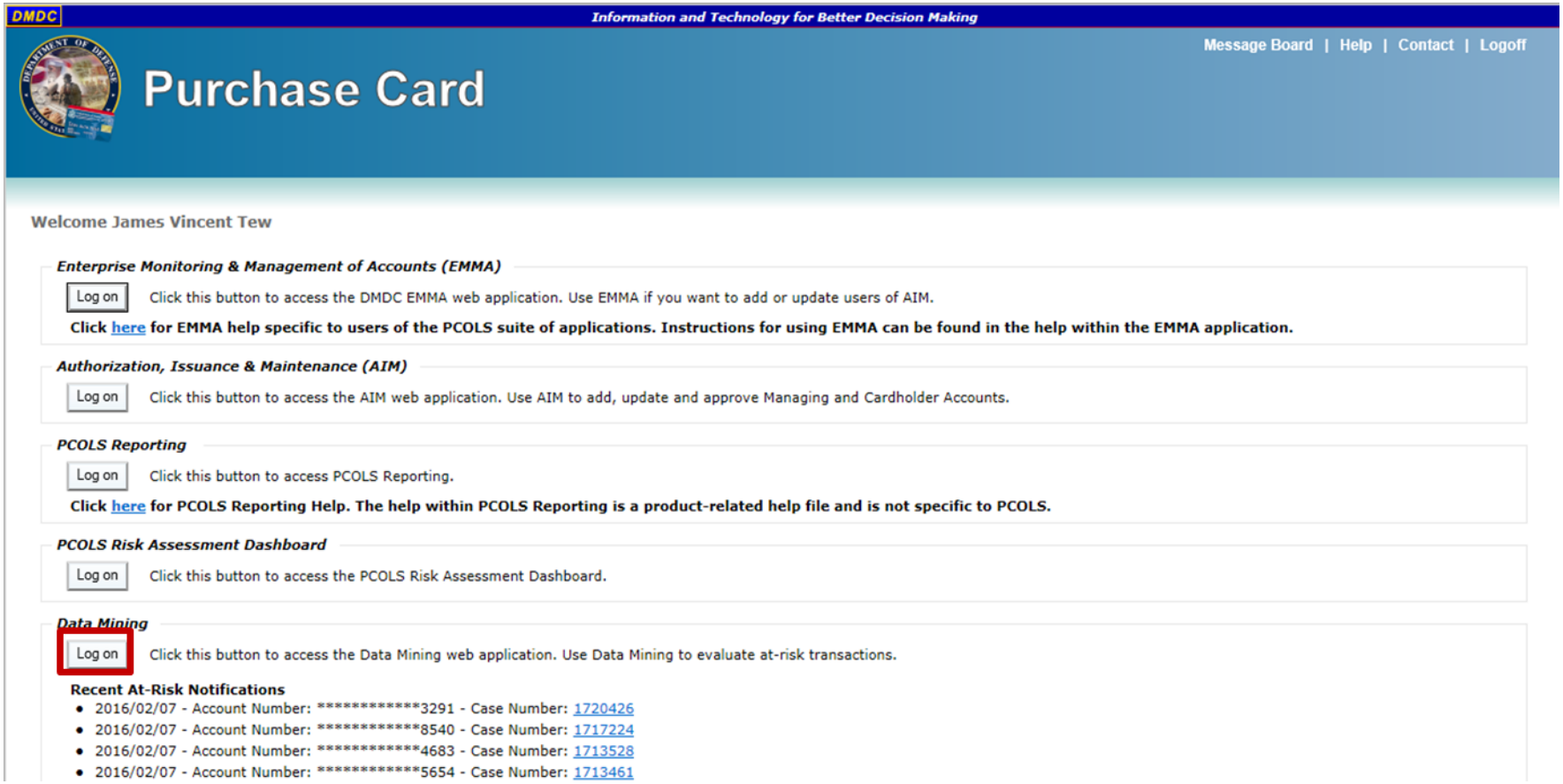
- **The user is taken to the Case Details section of Case Management**



# PCOLS DM LOGIN/NAVIGATION



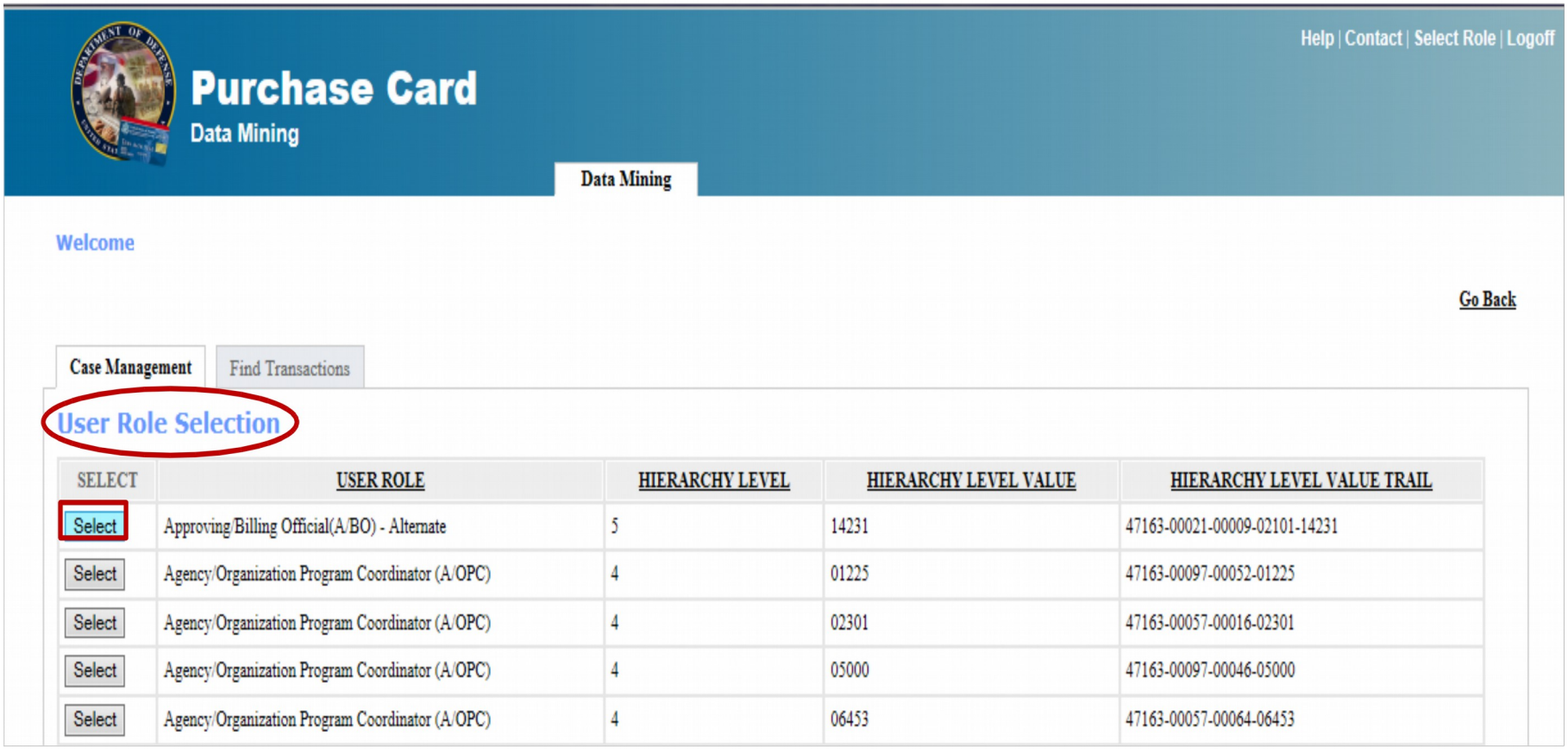
- **Log into DM directly (Secondary Option):**
  - Open Internet Explorer and enter the following Web address: https://pki.dmdc.osd.mil/appj/pcols-web/


DMDC
Information and Technology for Better Decision Making
Message Board | Help | Contact | Logoff
Purchase Card
Welcome James Vincent Tew
Enterprise Monitoring & Management of Accounts (EMMA)
Log on
Click this button to access the DMDC EMMA web application. Use EMMA if you want to add or update users of AIM.
Click here for EMMA help specific to users of the PCOLS suite of applications. Instructions for using EMMA can be found in the help within the EMMA application.
Authorization, Issuance & Maintenance (AIM)
Log on
Click this button to access the AIM web application. Use AIM to add, update and approve Managing and Cardholder Accounts.
PCOLS Reporting
Log on
Click this button to access PCOLS Reporting.
Click here for PCOLS Reporting Help. The help within PCOLS Reporting is a product-related help file and is not specific to PCOLS.
PCOLS Risk Assessment Dashboard
Log on
Click this button to access the PCOLS Risk Assessment Dashboard.
Data Mining
Log on
Click this button to access the Data Mining web application. Use Data Mining to evaluate at-risk transactions.
Recent At-Risk Notifications
2016/02/07 - Account Number: **********3291 - Case Number: 1720426
2016/02/07 - Account Number: **********8540 - Case Number: 1717224
2016/02/07 - Account Number: **********4683 - Case Number: 1713528
2016/02/07 - Account Number: **********5654 - Case Number: 1713461

# PCOLS DM LOGIN/NAVIGATION



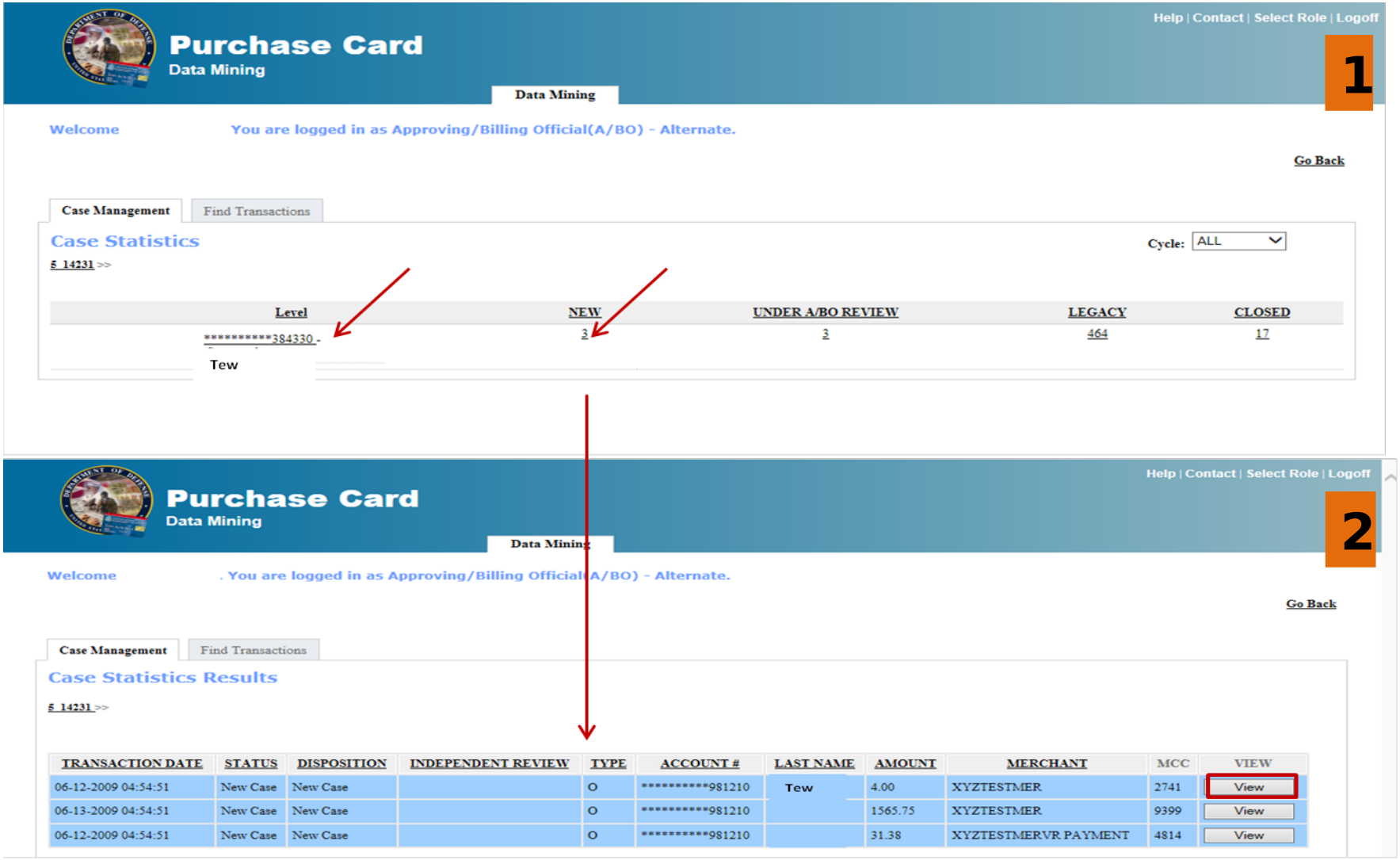
- **Each role logs in at the appropriate hierarchy level**



# PCOLS DM LOGIN/NAVIGATION



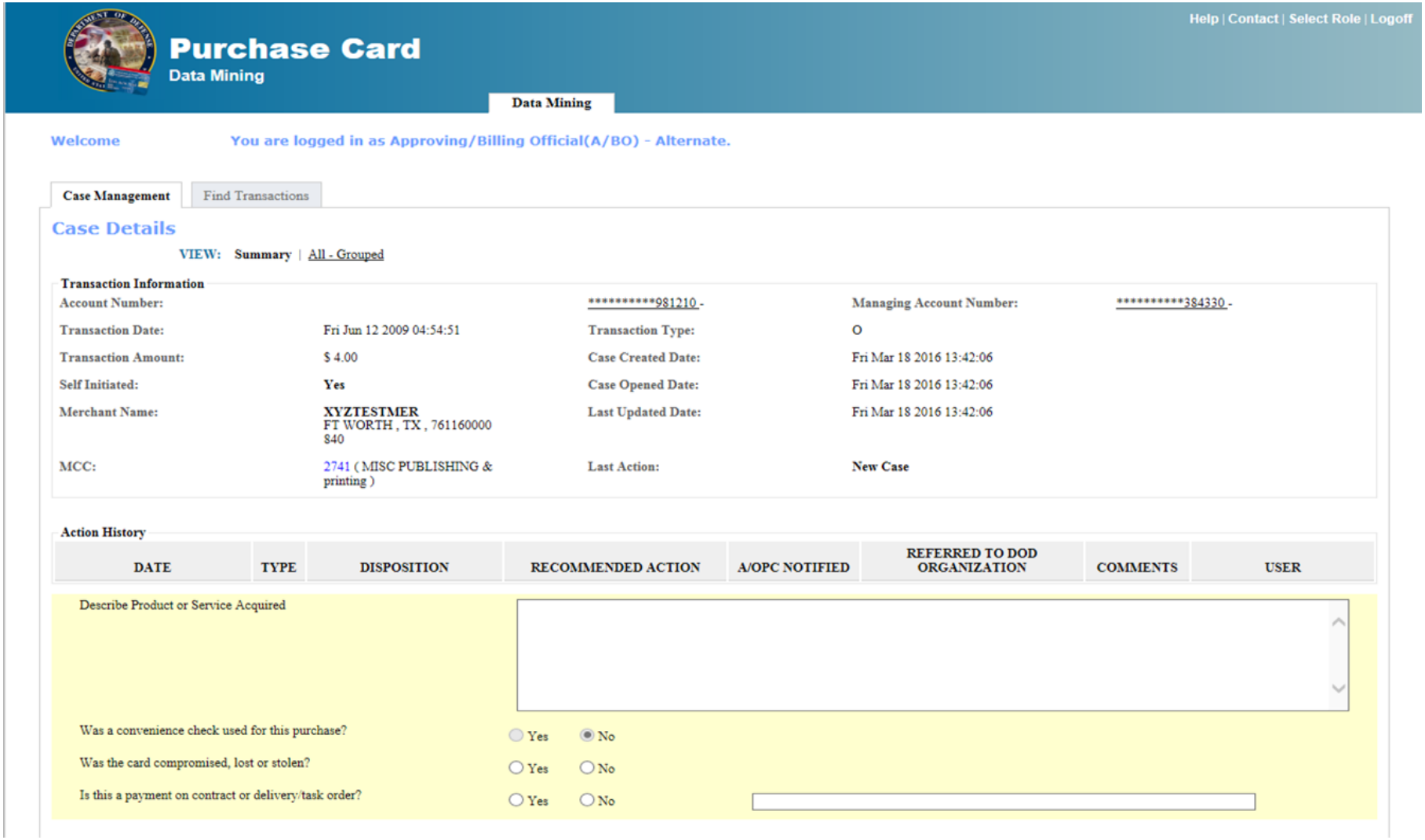
- **A/BOs access at the Level 5 or Company Number**



# PCOLS DM LOGIN/NAVIGATION



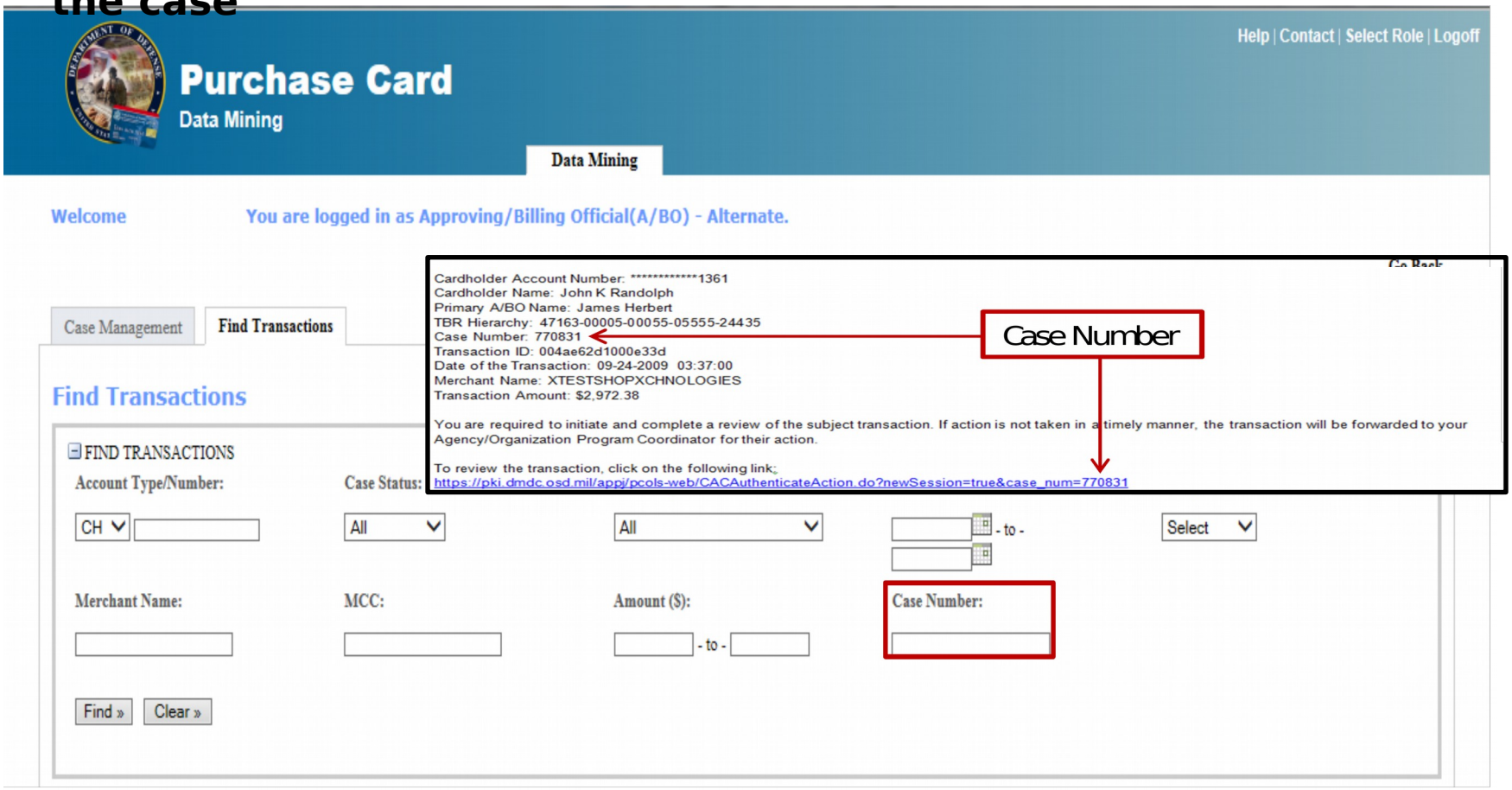
- **The user is taken to the Case Details section of Case Management**



# PCOLS DM FIND TRANSACTION OPTION

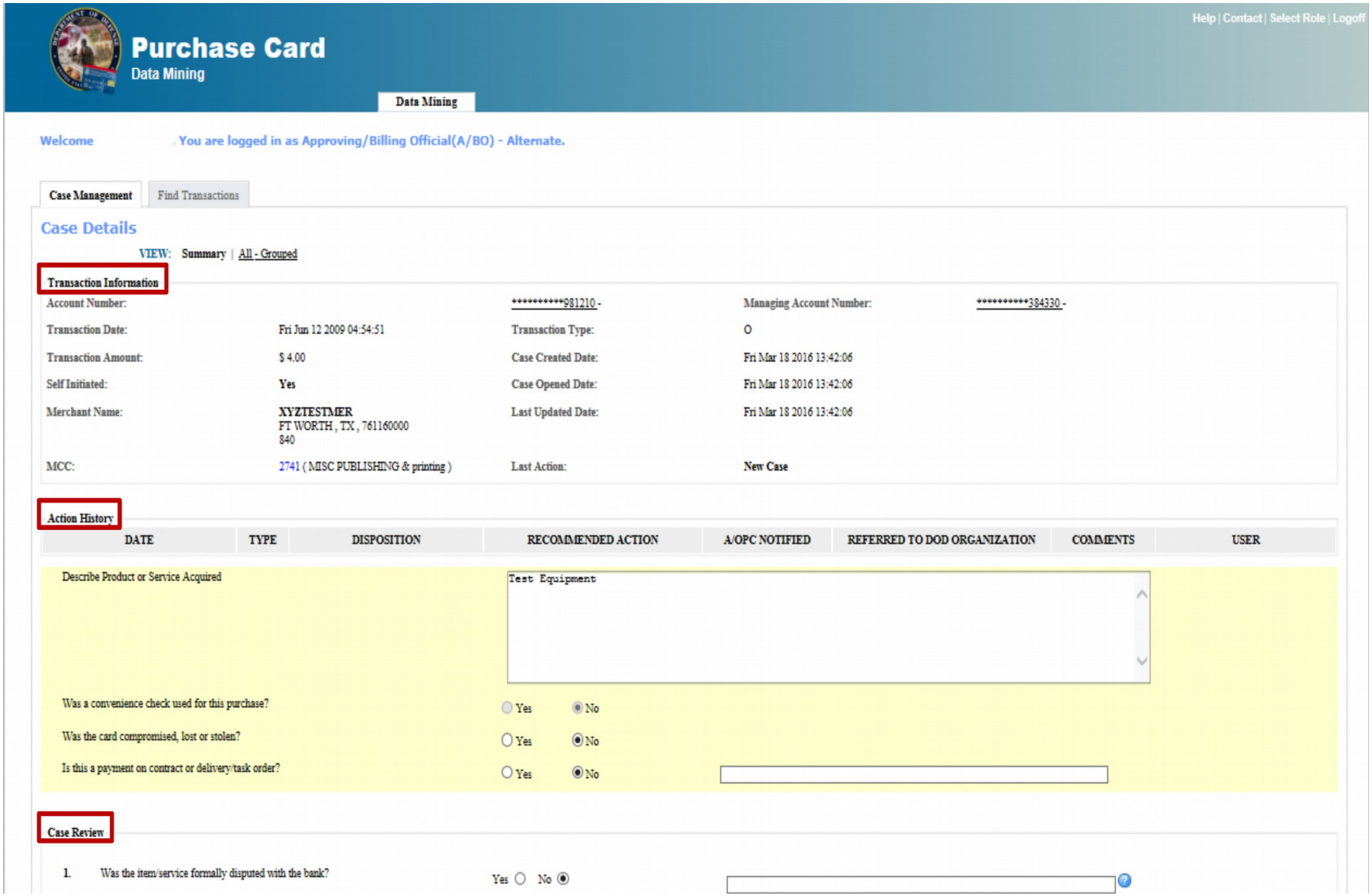


- **If you have issues with the link in the email and are logging into Data Mining directly, the Find Transaction tab provides another option to get to a case as opposed to drilling down to the case**



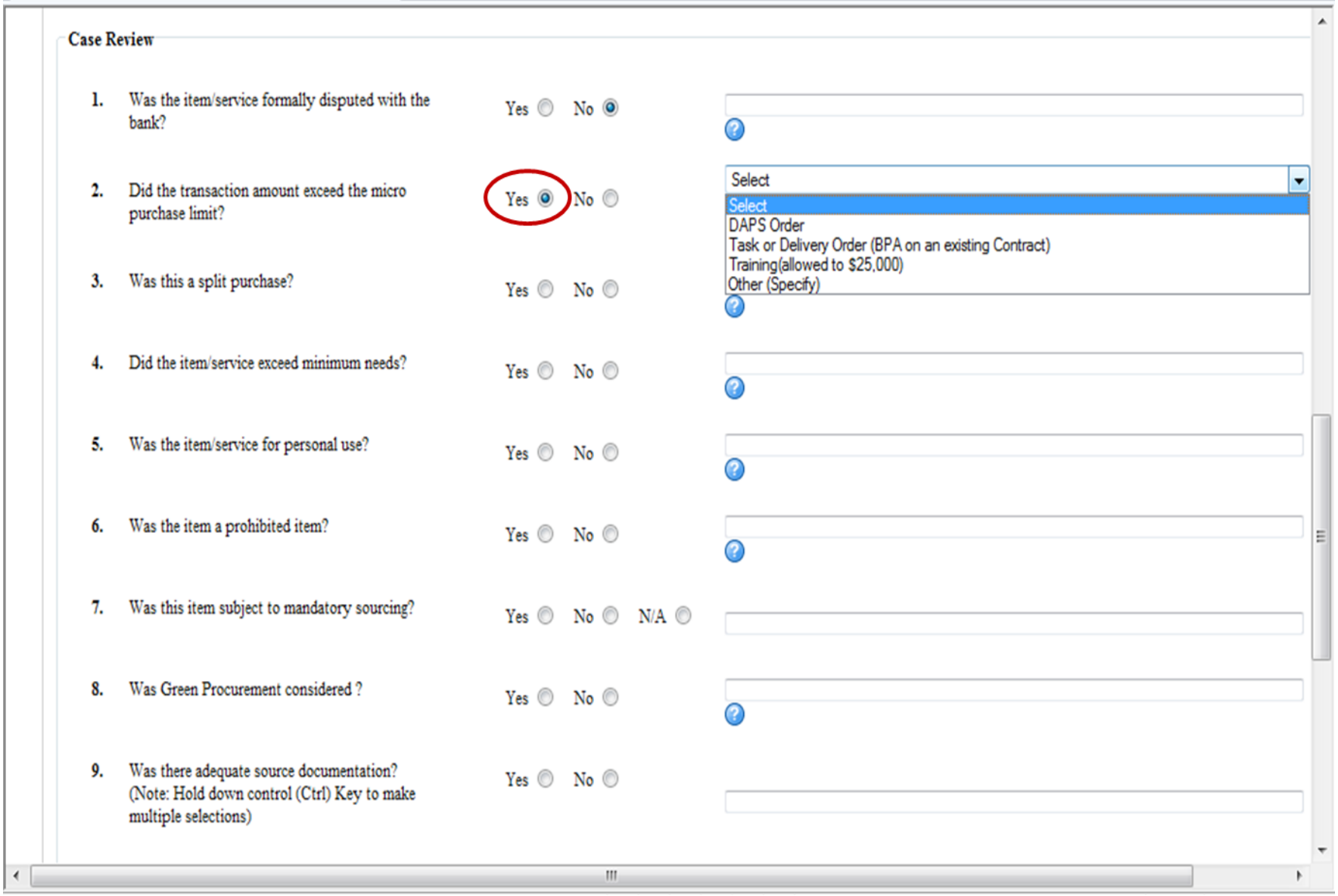
# PCOLS DM CASE DETAILS





# PCOLS DM CASE REVIEW QUESTIONS





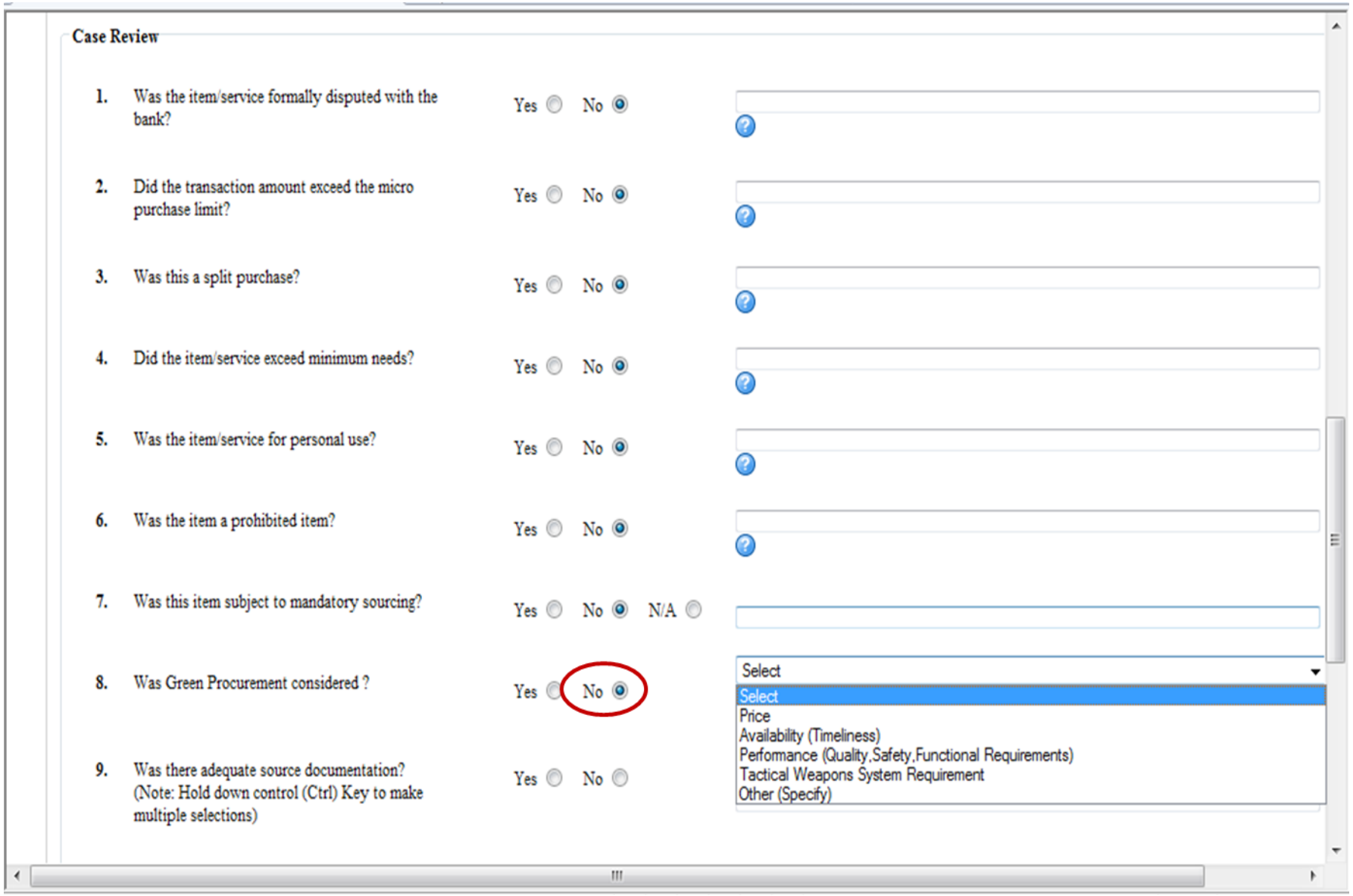
**Case Review**

1. Was the item/service formally disputed with the bank? — Yes ○ No ◉
2. Did the transaction amount exceed the micro purchase limit? — Yes ◉ No ○
3. Was this a split purchase? — Yes ○ No ○
4. Did the item/service exceed minimum needs? — Yes ○ No ○
5. Was the item/service for personal use? — Yes ○ No ○
6. Was the item a prohibited item? — Yes ○ No ○
7. Was this item subject to mandatory sourcing? — Yes ○ No ○ N/A ○
8. Was Green Procurement considered ? — Yes ○ No ○
9. Was there adequate source documentation? (Note: Hold down control (Ctrl) Key to make multiple selections) — Yes ○ No ○

Select
- Select
- DAPS Order
- Task or Delivery Order (BPA on an existing Contract)
- Training(allowed to $25,000)
- Other (Specify)

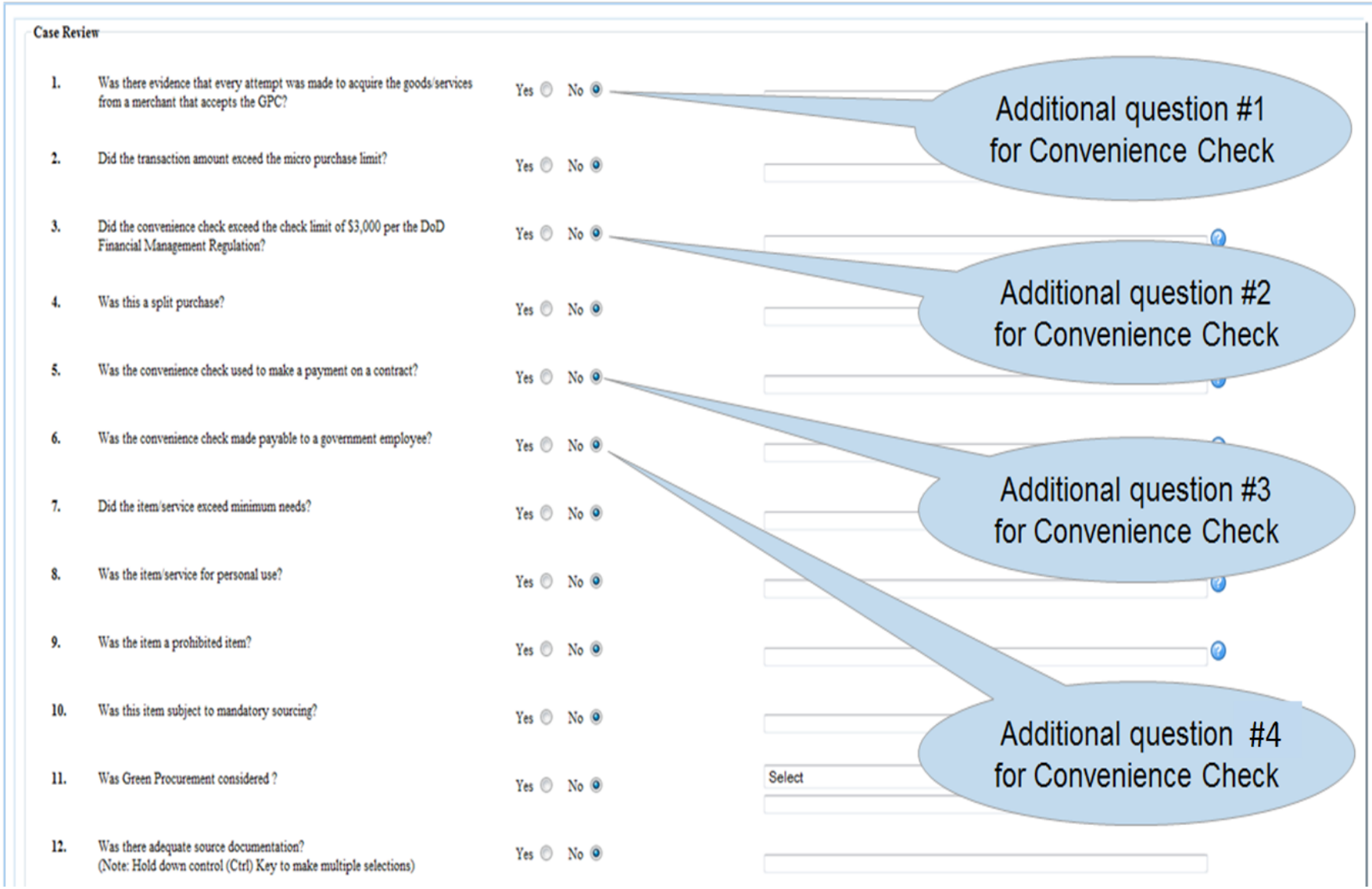
# PCOLS DM CASE REVIEW QUESTIONS




Case Review
1. Was the item/service formally disputed with the bank? Yes No
2. Did the transaction amount exceed the micro purchase limit? Yes No
3. Was this a split purchase? Yes No
4. Did the item/service exceed minimum needs? Yes No
5. Was the item/service for personal use? Yes No
6. Was the item a prohibited item? Yes No
7. Was this item subject to mandatory sourcing? Yes No N/A
8. Was Green Procurement considered ? Yes No
9. Was there adequate source documentation? (Note: Hold down control (Ctrl) Key to make multiple selections) Yes No
Select
Select
Price
Availability (Timeliness)
Performance (Quality,Safety,Functional Requirements)
Tactical Weapons System Requirement
Other (Specify)

# CASE REVIEW QUESTIONS (CONVENIENCE CHECKS)

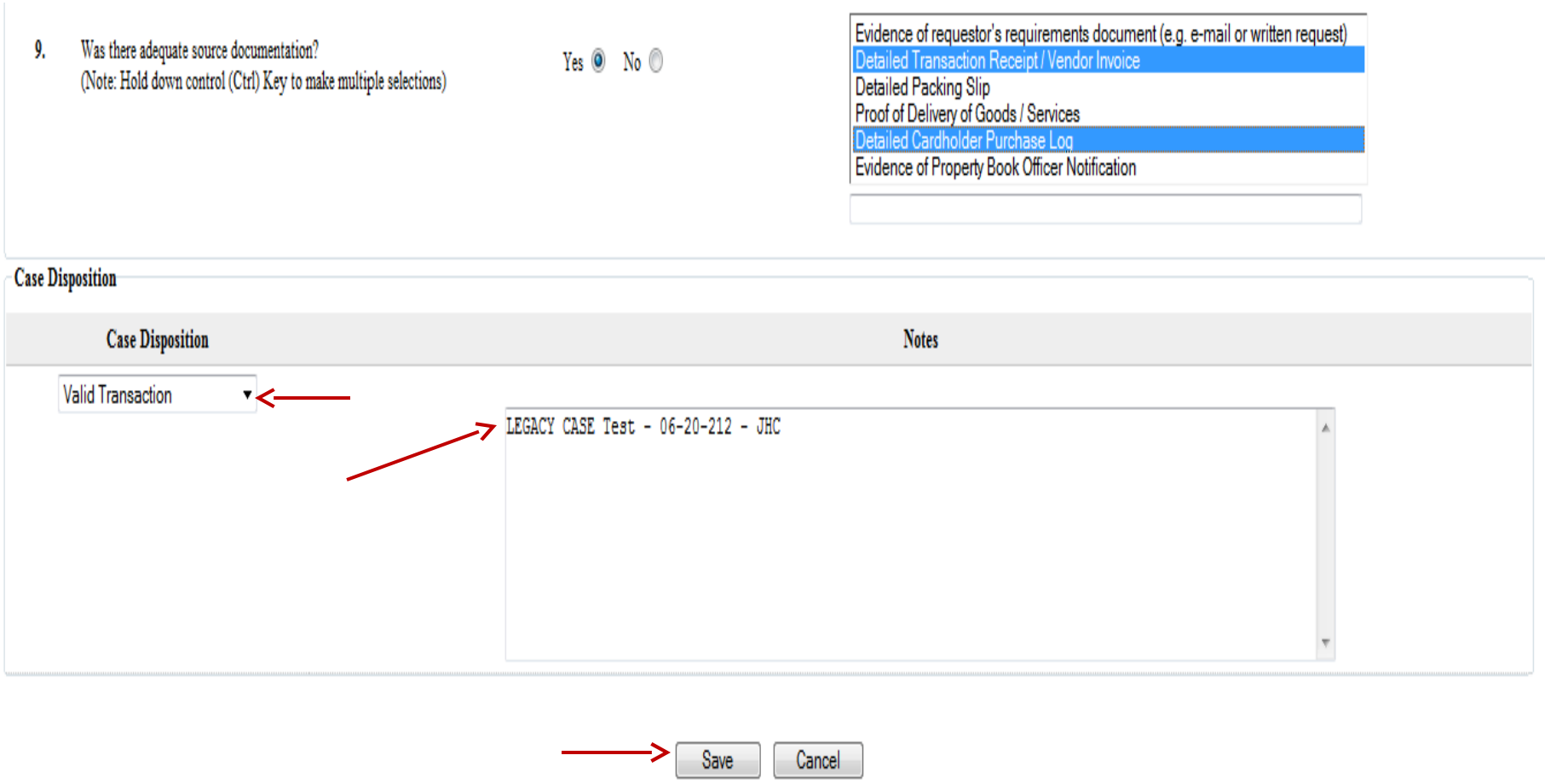



Case Review
1. Was there evidence that every attempt was made to acquire the goods/services from a merchant that accepts the GPC? Yes No
2. Did the transaction amount exceed the micro purchase limit? Yes No
3. Did the convenience check exceed the check limit of $3,000 per the DoD Financial Management Regulation? Yes No
4. Was this a split purchase? Yes No
5. Was the convenience check used to make a payment on a contract? Yes No
6. Was the convenience check made payable to a government employee? Yes No
7. Did the item/service exceed minimum needs? Yes No
8. Was the item/service for personal use? Yes No
9. Was the item a prohibited item? Yes No
10. Was this item subject to mandatory sourcing? Yes No
11. Was Green Procurement considered ? Yes No
Select
12. Was there adequate source documentation? (Note: Hold down control (Ctrl) Key to make multiple selections) Yes No
Additional question #1 for Convenience Check
Additional question #2 for Convenience Check
Additional question #3 for Convenience Check
Additional question #4 for Convenience Check

# PCOLS DM CASE DISPOSITION

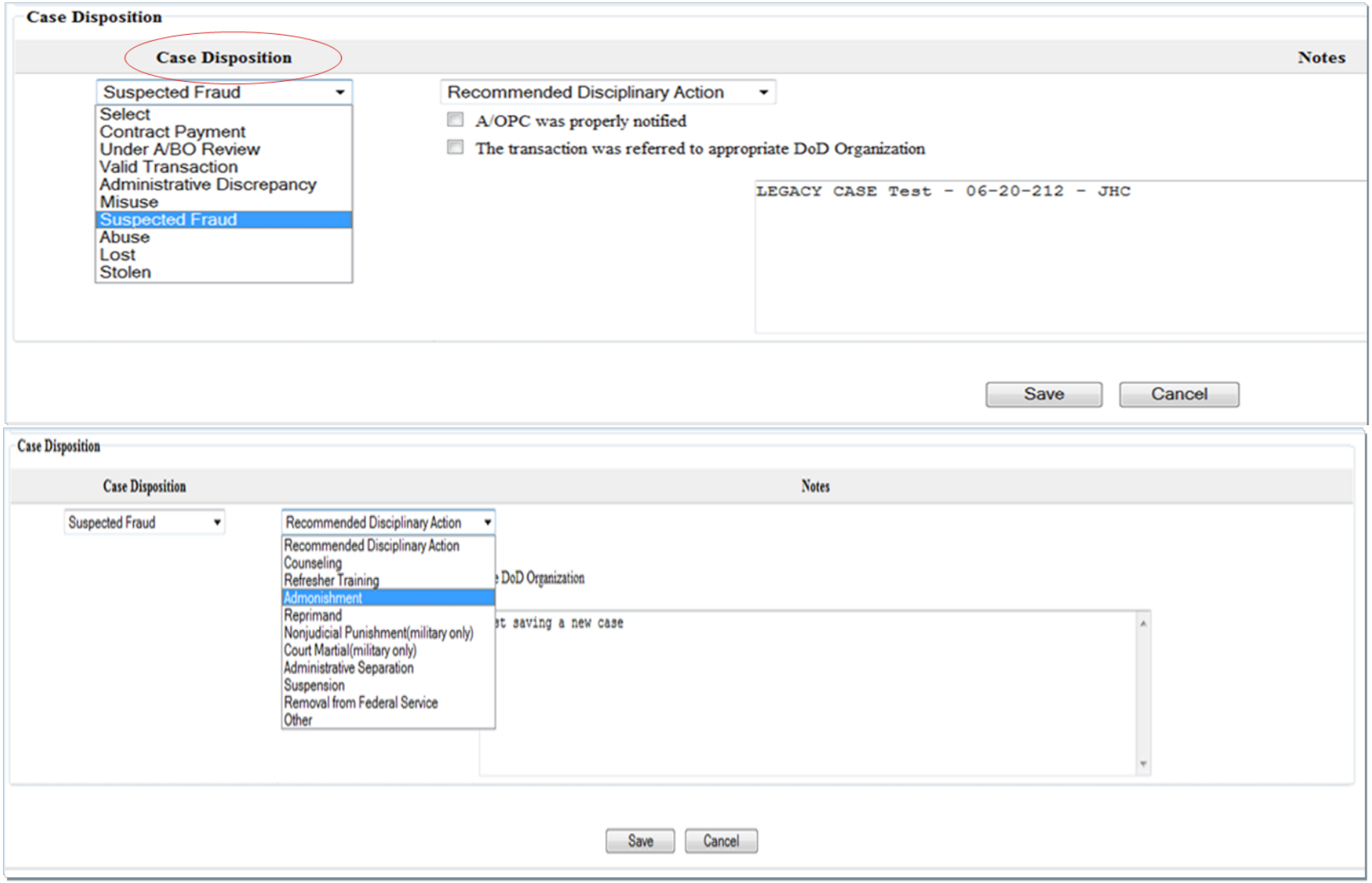


- **Question #9 requires specific source documentation for a Valid Transaction**
- **A/BO selects appropriate Case Disposition**


9. Was there adequate source documentation?
(Note: Hold down control (Ctrl) Key to make multiple selections)
Yes
No
Evidence of requestor's requirements document (e.g. e-mail or written request)
Detailed Transaction Receipt / Vendor Invoice
Detailed Packing Slip
Proof of Delivery of Goods / Services
Detailed Cardholder Purchase Log
Evidence of Property Book Officer Notification
Case Disposition
Case Disposition
Notes
Valid Transaction
LEGACY CASE Test - 06-20-212 - JHC
Save
Cancel

# PCOLS DM CASE DISPOSITION DETAILS

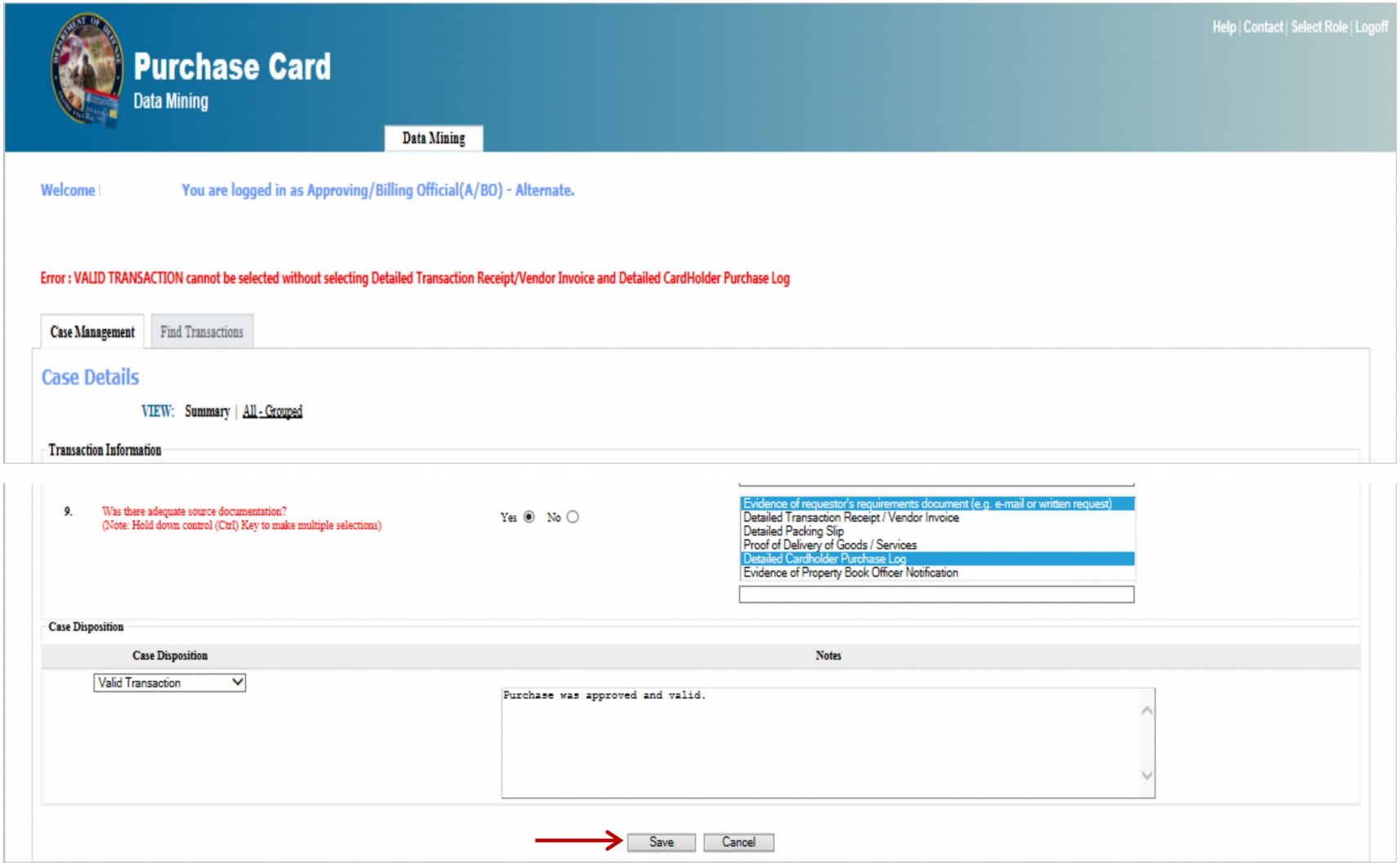




# PCOLS DM CASE REVIEW ERROR

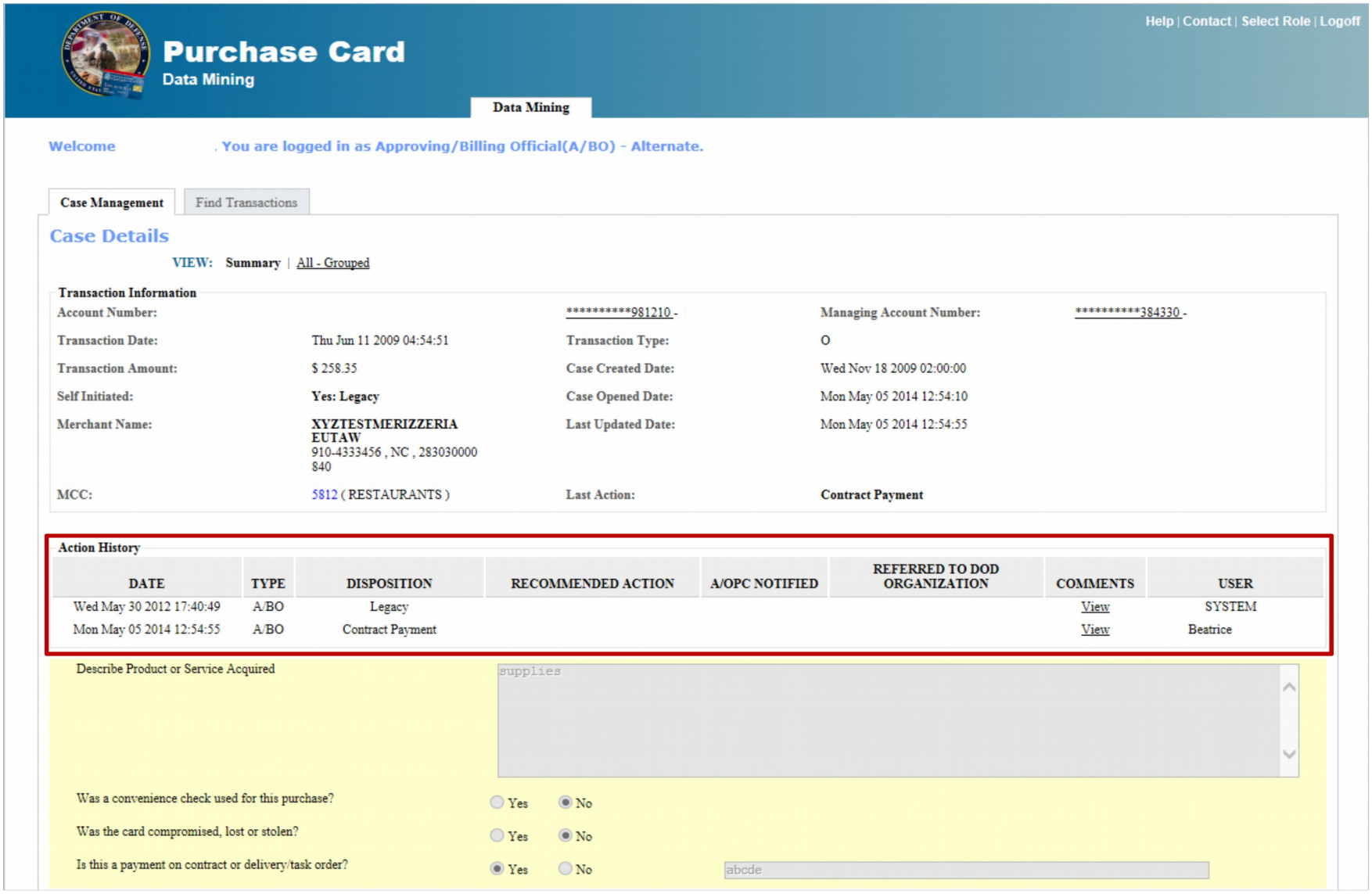


- **Case Review error messages will appear in red**


Purchase Card
Data Mining
Help | Contact | Select Role | Logoff
Data Mining
Welcome |
You are logged in as Approving/Billing Official(A/BO) - Alternate.
Error : VALID TRANSACTION cannot be selected without selecting Detailed Transaction Receipt/Vendor Invoice and Detailed CardHolder Purchase Log
Case Management
Find Transactions
Case Details
VIEW: Summary | All - Grouped
Transaction Information
9. Was there adequate source documentation?
(Note: Hold down control (Ctrl) Key to make multiple selections)
Yes
No
Evidence of requestor's requirements document (e.g. e-mail or written request)
Detailed Transaction Receipt / Vendor Invoice
Detailed Packing Slip
Proof of Delivery of Goods / Services
Detailed Cardholder Purchase Log
Evidence of Property Book Officer Notification
Case Disposition
Case Disposition
Notes
Valid Transaction
Purchase was approved and valid.
Save
Cancel

# PCOLS DM ACTION HISTORY SECTION




Purchase Card
Data Mining
Help | Contact | Select Role | Logoff
Data Mining
Welcome . You are logged in as Approving/Billing Official(A/BO) - Alternate.
Case Management
Find Transactions
Case Details
VIEW: Summary | All - Grouped
Transaction Information
Account Number: **********981210 -
Managing Account Number: **********384330 -
Transaction Date: Thu Jun 11 2009 04:54:51
Transaction Type: O
Transaction Amount: $ 258.35
Case Created Date: Wed Nov 18 2009 02:00:00
Self Initiated: Yes: Legacy
Case Opened Date: Mon May 05 2014 12:54:10
Merchant Name: XYZTESTMERIZZERIA EUTAW 910-4333456 , NC , 283030000 840
Last Updated Date: Mon May 05 2014 12:54:55
MCC: 5812 ( RESTAURANTS )
Last Action: Contract Payment
Action History
DATE | TYPE | DISPOSITION | RECOMMENDED ACTION | A/OPC NOTIFIED | REFERRED TO DOD ORGANIZATION | COMMENTS | USER
Wed May 30 2012 17:40:49 | A/BO | Legacy | | | | View | SYSTEM
Mon May 05 2014 12:54:55 | A/BO | Contract Payment | | | | View | Beatrice
Describe Product or Service Acquired
supplies
Was a convenience check used for this purchase? Yes No
Was the card compromised, lost or stolen? Yes No
Is this a payment on contract or delivery/task order? Yes No
abcde

# PCOLS DM – A/OPC INDEPENDENT REVIEW



Case Management | Find Transactions

## Case Details

VIEW: **Summary** | All - Grouped

**Transaction Information**

| | | | |
|---|---|---|---|
| Account Number: | **********981210 - | Managing Account Number: | **********384330 - |
| Transaction Date: | Fri Jun 12 2009 04:54:51 | Transaction Type: | O |
| Transaction Amount: | $ 4.65 | Case Created Date: | Wed Nov 18 2009 02:00:00 |
| Self Initiated: | **Yes: Legacy** | Case Opened Date: | Thu Oct 10 2013 10:50:39 |
| Merchant Name: | **XYZTESTMER64398290** 800-4633339 , TN , 381160000 840 | Last Updated Date: | Thu Sep 25 2014 09:01:51 |
| MCC: | 4215 (COURIER SERVICES ) | Last Action: | **Administrative Discrepancy** |

**Action History**

| DATE | TYPE | DISPOSITION | RECOMMENDED ACTION | A/OPC NOTIFIED | REFERRED TO DOD ORGANIZATION | COMMENTS | USER |
|---|---|---|---|---|---|---|---|
| Wed May 30 2012 17:40:49 | A/BO | Legacy | | | | View | SYSTEM |
| Thu Sep 25 2014 09:01:51 | A/BO | Administrative Discrepancy | Counseling | YES | | View | Beatrice |

Add Independent Review

Describe Product or Service Acquired: supplies

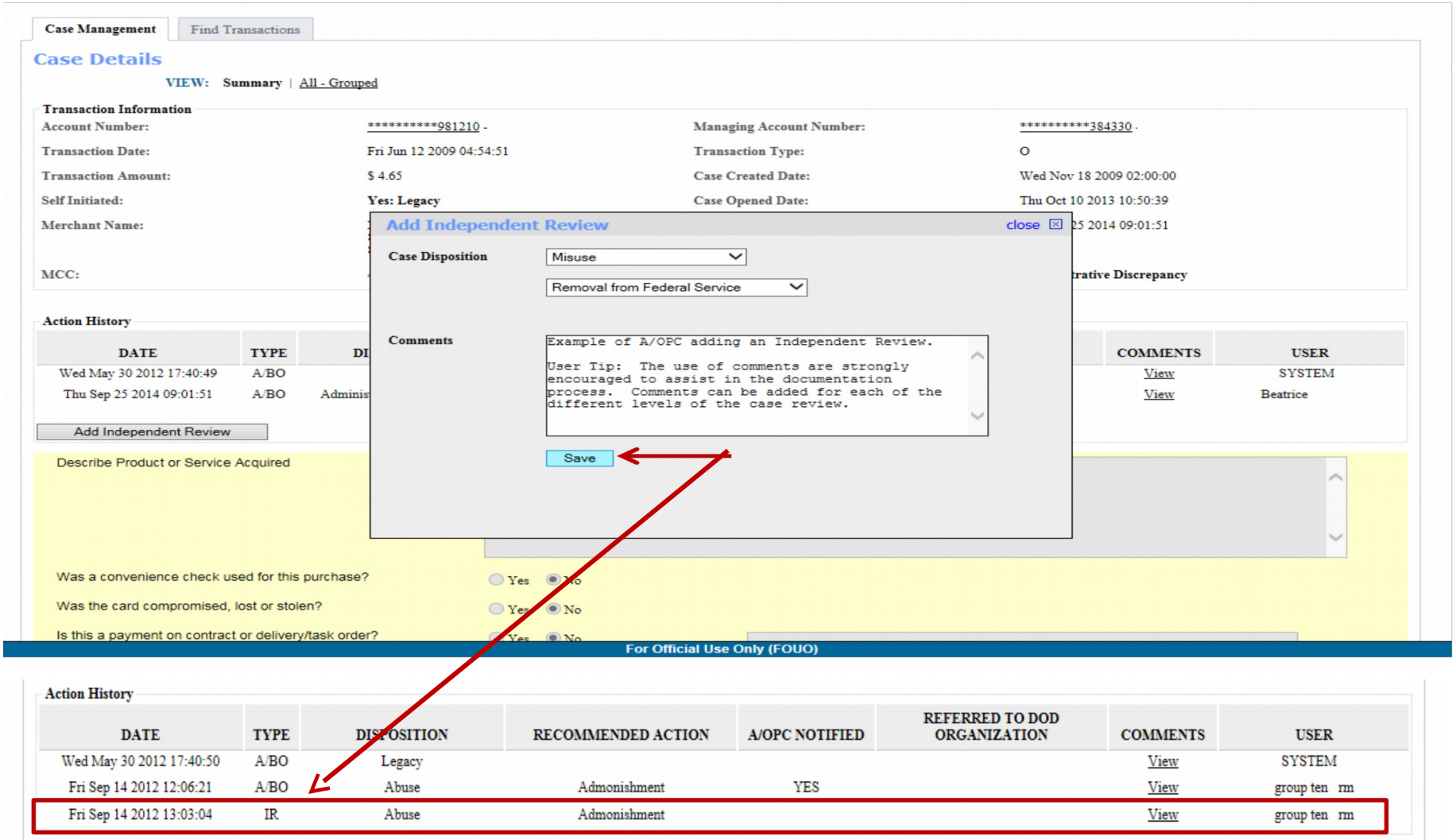
Was a convenience check used for this purchase? ○ Yes ◉ No

Was the card compromised, lost or stolen? ○ Yes ◉ No

Is this a payment on contract or delivery/task order? ○ Yes ◉ No

# PCOLS DM – A/OPC INDEPENDENT REVIEW






**Action History**

| DATE | TYPE | DISPOSITION | RECOMMENDED ACTION | A/OPC NOTIFIED | REFERRED TO DOD ORGANIZATION | COMMENTS | USER |
|---|---|---|---|---|---|---|---|
| Wed May 30 2012 17:40:50 | A/BO | Legacy | | | | View | SYSTEM |
| Fri Sep 14 2012 12:06:21 | A/BO | Abuse | Admonishment | YES | | View | group ten rm |
| Fri Sep 14 2012 13:03:04 | IR | Abuse | Admonishment | | | View | group ten rm |

# PCOLS DM NAVIGATION RECAP



- **Primary/Alternate A/BOs and A/BO Supervisor on Managing Account can perform a case review in DM**
- **Case access through one of two ways**
  - link in the Flagged Transaction notification email
  - direct login to Data Mining through SRS and drill down to cases
- **Independent Reviews cannot be input until the initial /BO case review is completed**
- **Use the for more specifics on each question being answered during case review**
- **Hold CTRL key while selecting source documentation options for Question #9**
- **Valid Transactions require the two following selections for source documentation on Question #9**
  - “Detailed Transaction Receipt/Vendor Invoice”
  - “Detailed Cardholder Purchase Log”
- **Error messages in DM are in red letters and very specific to aid in resolving the error**

# PCOLS RAD

# Risk Assessment Dashboard (RAD)

- **The Risk Assessment Dashboard allows users to analyze risk and report on the "health" of their organization's purchase card program**
- **The Risk Assessment Dashboard (RAD) is populated with bank data, Data Mining data, and PCOLS data**
  - Bank - daily and monthly transactional account data are used
  - Data Mining - case and case disposition data are used
  - PCOLS - hierarchy and account data are used
- **RAD Components**
  - Dashboard
  - Controls
  - Quarterly Reports

# Risk Assessment Dashboard (RAD) - Logo

- **Available roles are listed on the screen and role selection is determined by the TBR Hierarchy Level you wish to view**

DMDC *Information and Technology for Better Decision Making*

Help | Logoff

Purchase Card
Risk Assessment Dashboard

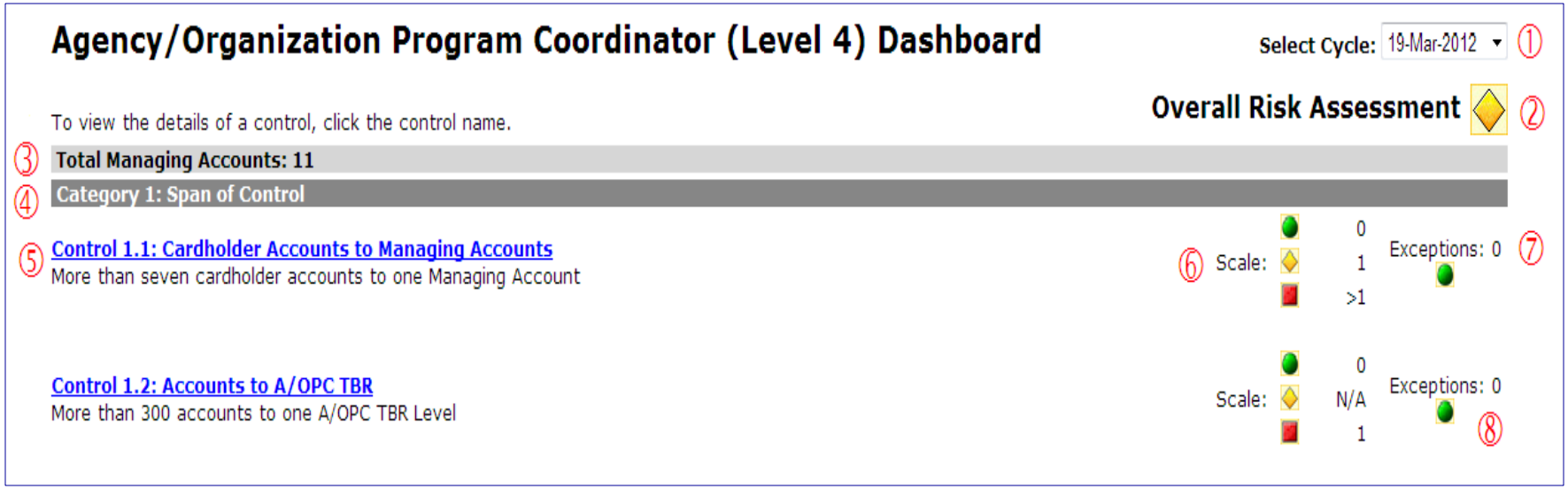
Welcome James Vincent Tew.

## ROLE SELECTION

Click the Hierarchy Level Value Trail to select a role.

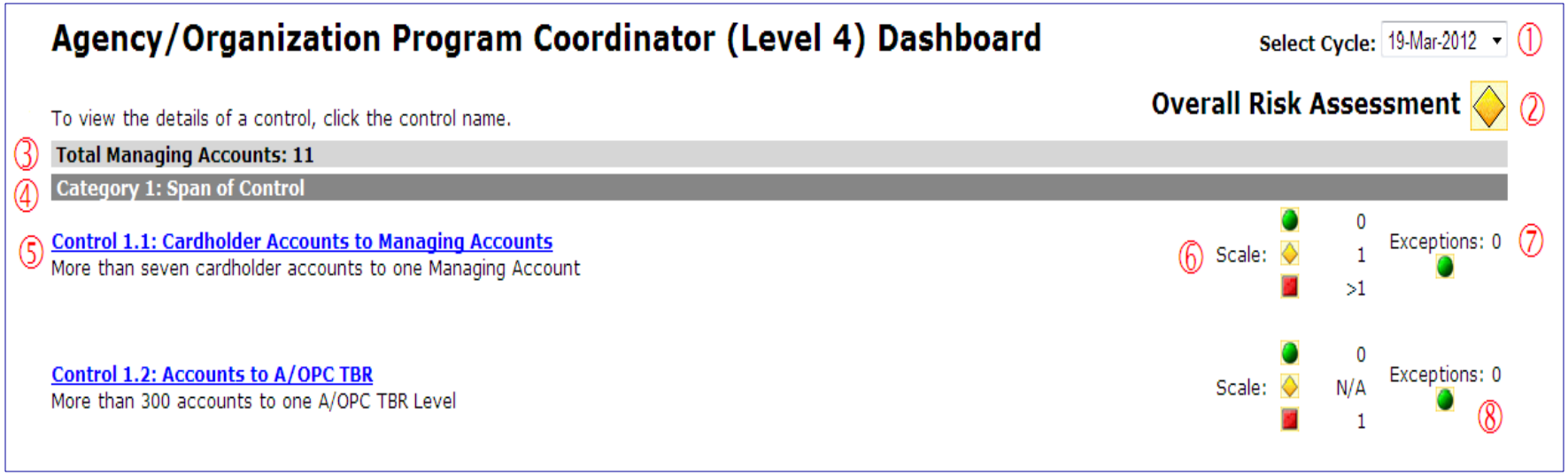
| User Roles | Hierarchy Level | Hierarchy Level Value Trail |
|---|---|---|
| Help Desk Manager | 1 | 47163 |
| Acquisition Executive Agent | 2 | 47163-00021 |
| HCA Agent | 3 | 47163-00021-00009 |
| HCA Agent | 3 | 47163-00021-00032 |
| HCA Agent | 3 | 47163-00021-00056 |
| HCA Agent | 3 | 47163-00021-00060 |
| HCA Agent | 3 | 47163-00021-00071 |
| HCA Agent | 3 | 47163-00021-00074 |
| HCA Agent | 3 | 47163-00021-00080 |
| High Level Agency Program Coordinator | 4 | 47163-00021-00009-00000 |
| High Level Agency Program Coordinator | 4 | 47163-00021-00074-00000 |

# Risk Assessment Dashboard (RAD) - Dashboard




1. **Select Cycle** – The Select Cycle element is a drop-down list that allows users to select the billing cycle data displayed on the dashboard. It provides a list of up to 18 billing cycles to choose from. Selecting a new billing cycle automatically refreshes the dashboard with that cycle's data.
2. **Overall Risk Assessment** – The Overall Risk Assessment element indicates the assessed risk for the user's hierarchy level as low risk, medium risk, or high risk and is based on the cumulative risk assessment of each individual control.

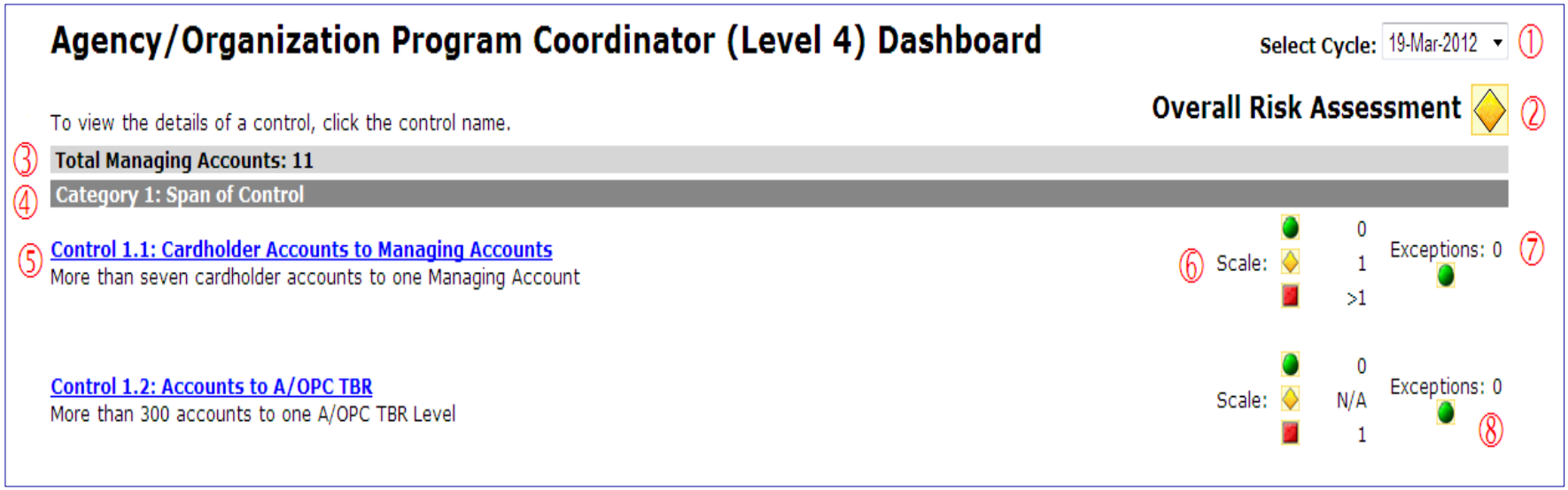
# Risk Assessment Dashboard (RAD) - Dashboard


Agency/Organization Program Coordinator (Level 4) Dashboard
Select Cycle: 19-Mar-2012
①
Overall Risk Assessment
②
To view the details of a control, click the control name.
③ Total Managing Accounts: 11
④ Category 1: Span of Control
⑤ Control 1.1: Cardholder Accounts to Managing Accounts
More than seven cardholder accounts to one Managing Account
⑥ Scale: 0 1 >1
Exceptions: 0
⑦
Control 1.2: Accounts to A/OPC TBR
More than 300 accounts to one A/OPC TBR Level
Scale: 0 N/A 1
Exceptions: 0
⑧

**3. Hierarchy Level Count** – The Hierarchy Level Count element displays the number of sub-organizations, based on TBR, one level below the reporting level. For example, for an Acquisition Executive Agent (Level 2), it displays the number of HCA Agent (Level 3) organizations under their responsibility. For an A/OPC, it displays the number of Managing Accounts associated with the A/OPC TBR. For an A/BO, it displays the number of Cardholder Accounts associated with the A/BO TBR.

**4. Category Label** – The Category Label element displays the same categories listed in section 5.0, Control Functions. Controls listed on the dashboard are segmented into groups of similar controls. The Category Label element applies to groups of controls.

# Risk Assessment Dashboard (RAD) - Dashboard


Agency/Organization Program Coordinator (Level 4) Dashboard
Select Cycle: 19-Mar-2012
①
Overall Risk Assessment
②
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④ Category 1: Span of Control
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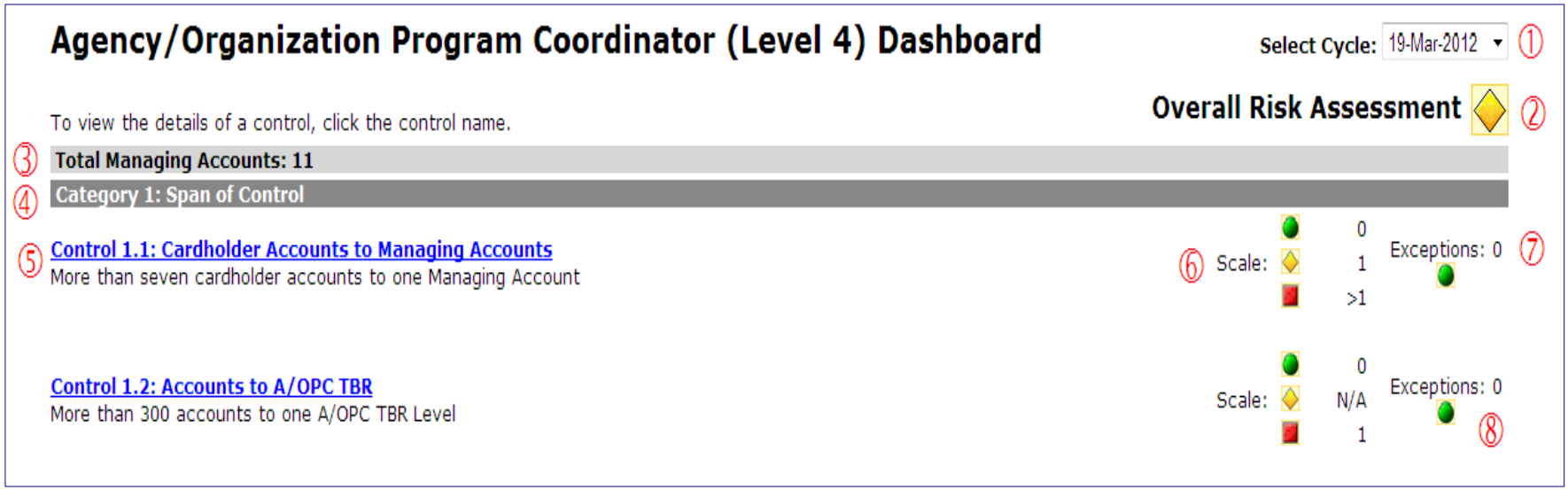
More than seven cardholder accounts to one Managing Account
⑥ Scale: 0 1 >1
Exceptions: 0
⑦
Control 1.2: Accounts to A/OPC TBR
More than 300 accounts to one A/OPC TBR Level
Scale: 0 N/A 1
Exceptions: 0
⑧

**6. Control Risk Assessment Exception Scale** – The Control Risk Assessment Exception Scale element is available only on **A/OPC** dashboards. It contains ranges or numbers used to determine the risk assessment for a control based on where the Exception Count falls when compared to the scale. The ranges or numbers correspond to low-risk, medium-risk, and high-risk. The Control Risk Assessment Exception Scale element is specific to individual controls.

**7. Exception Count** – The Exception Count element is only available on the A/OPC and A/BO dashboards. It displays the number of exceptions identified for a control. For example, for Control 4.2: Account Usage, any Cardholder who has not used their card in the past six billing cycles is identified as an exception. The Exception Count

# Risk Assessment Dashboard (RAD) - Dashboard


Agency/Organization Program Coordinator (Level 4) Dashboard
Select Cycle: 19-Mar-2012
①
Overall Risk Assessment
②
To view the details of a control, click the control name.
③ Total Managing Accounts: 11
④ Category 1: Span of Control
⑤ Control 1.1: Cardholder Accounts to Managing Accounts
More than seven cardholder accounts to one Managing Account
⑥ Scale: 0 1 >1
Exceptions: 0
⑦
Control 1.2: Accounts to A/OPC TBR
More than 300 accounts to one A/OPC TBR Level
Scale: 0 N/A 1
Exceptions: 0
⑧

**8. Control Risk Assessment –** The Control Risk Assessment element indicates the risk assessment for a control. A control can be assessed as low risk, medium risk, or high risk, except for the A/BO dashboard where a control can only be assessed as either low risk or high risk. Depending on the dashboard, the Control Risk Assessment is determined by comparing the Exception Count to the Control Risk Assessment Exception Scale. The Control Risk Assessment element is specific to individual controls.

# RAD – View of A/BO Dashboard

Purchase Card
Risk Assessment Dashboard

Help | Select Role | Logoff

Welcome

Role Selection > Dashboard

## Approving/Billing Officials Supervisor (Level 5) Dashboard

Select Cycle: 19-Jun-2014

Overall Risk Assessment

To view the details of a control, click the control name.

**Total Cardholder Accounts: 6**

Category 1: Span of Control

Control 1.1: Cardholder Accounts to Managing Accounts
More than seven Cardholder Accounts to one Managing Account — Exceptions: 0

Category 2: Separation of Duties

Control 2.1: Inadequate Separation of Duties
Accounts for which the Cardholder and A/BO are the same individual — Exceptions: 0

Category 3: Authorization Controls

Control 3.1: Spending Ratio - Underutilized Credit Limits
Accounts for which the three-cycle spending average is less than 70% of the average cycle limit — Exceptions: 0

Control 3.2: Single Merchant Spending
Accounts that have at least 10 transactions and an 80% or greater spending percentage at one merchant — Exceptions: 0

Category 4: Account Status

Control 4.1: Delinquent Accounts
Managing Accounts delinquent for more than 30 days — Exceptions: 0

Control 4.2: Account Usage
Accounts that have been inactive for six cycles or have never been used — Exceptions: 1

Control 4.3: Lost/Stolen Cards
Managing Accounts that have more than one lost/stolen card(s) in the last six cycles — Exceptions: 0

Category 5: Transaction Review Controls

Control 5.1: Average Cycle Transactions
Higher than average number of transactions (>100) for a Managing Account per cycle, based on three cycles of data — Exceptions: 0

Control 5.2: A/BO Response Rate
A/BO failure to complete case review in Case Management for flagged transactions within 16 business days — Exceptions: 1

# RAD – View of A/OPC Dashboard

Purchase Card
Risk Assessment Dashboard

Help | Select Role | Logoff

Welcome

Role Selection > Dashboard

Quarterly Reports

## Agency/Organization Program Coordinator Supv (Level 4) Dashboard

Select Cycle: 19-Jun-2014

Overall Risk Assessment

To view the details of a control, click the control name.

**Total Managing Accounts: 6**

Category 1: Span of Control

| | | | |
|---|---|---|---|
| Control 1.1: Cardholder Accounts to Managing Accounts<br>More than seven Cardholder Accounts to one Managing Account | Scale: | 0<br>1<br>>1 | Exceptions: 0 |
| Control 1.2: Accounts to A/OPC TBR<br>More than 300 accounts to 1 A/OPC TBR Level | Scale: | 0<br>N/A<br>1 | Exceptions: 0 |

Category 2: Separation of Duties

| | | | |
|---|---|---|---|
| Control 2.1: Inadequate Separation of Duties<br>Accounts for which the Cardholder and A/BO are the same individual | Scale: | 0<br>1<br>>1 | Exceptions: 0 |

Category 3: Authorization Controls

| | | | |
|---|---|---|---|
| Control 3.1: Spending Ratio - Underutilized Credit Limits<br>Accounts for which the three-cycle spending average is less than 70% of the average cycle limit | Scale: | 0-5<br>6-10<br>>10 | Exceptions: 15 |
| Control 3.2: Single Merchant Spending<br>Accounts that have at least 10 transactions and an 80% or greater spending percentage at one merchant | Scale: | 0-5<br>6-10<br>>10 | Exceptions: 0 |

Category 4: Account Status

| | | | |
|---|---|---|---|
| Control 4.1: Delinquent Accounts<br>Managing Accounts delinquent for more than 30 days | Scale: | 0<br>1<br>>1 | Exceptions: 0 |
| Control 4.2: Account Usage<br>Accounts that have been inactive for six cycles or have never been used | Scale: | 0-5<br>6-10<br>>10 | Exceptions: 3 |

# Risk Assessment Dashboard (RAD) – Con

- **Control 1.1: Cardholder Accounts to Managing Accounts**

Control 1.1 checks the ratio of Cardholder Accounts to Managing Accounts. The control calculates the number of Cardholder Accounts in **Open status** associated with a Managing Account in Open status.

- **Control 1.2: Accounts to A/OPC TBR**

Control 1.2 verifies the ratio of Managing and Cardholder accounts to **A/OPC TBR**. The control calculates the number of Cardholder Accounts in Open status PLUS the number of Managing Accounts in Open status that is associated with a TBR level 4. The number of open CAs and MAs under one TBR level 4 is greater than 300.

- **Control 2.1: Inadequate Separation of Duties**

Control 2.1 verifies separation of duties. The control identifies if a Cardholder is also an A/BO (Primary or Alternate) over the account.

- **Control 3.1: Spending Ratio - Underutilized Credit Limits**

Control 3.1 identifies Cardholder Accounts that have a spending average over the past three cycles that is less than 70 percent of the

# Risk Assessment Dashboard (RAD) – Con

- **Control 3.2: Single Merchant Spending**

Control 3.2 identifies Cardholder Accounts that have at least 10 transactions in the current cycle with the same Merchant (based on Merchant ID) and the dollar value of the transactions with the merchant is 80 percent or more of the total purchases made that cycle. An exception is flagged for each Cardholder Account that meets these criteria.

- **Control 4.1: Delinquent Accounts**

Control 4.1 identifies Managing Accounts that are 30 or more days delinquent in paying as of the end of the monthly cycle. This information is reported to PCOLS by the banks at the end of each cycle.

- **Control 4.2: Account Usage**

Control 4.2 identifies Cardholder Accounts that are currently Open, but have not had any purchases for the past six cycles.

- **Control 4.3: Lost / Stolen Cards**

Control 4.3 identifies Managing Accounts that have had more than one card reported as lost or stolen in the past six cycles.

# Risk Assessment Dashboard (RAD) – Con

## ➢ Control 4.4: Transaction Disputes

Control 4.4 identifies Cardholder Accounts that have three or more transaction disputes over the last three cycles. Transaction Disputes are identified from the data provided in the daily transaction files.

## ➢ Control 5.1: Average Cycle Transactions Reviewed

Control 5.1 identifies Managing Accounts that have an average of more than 100 purchase transactions over the past 3 cycles.

## ➢ Control 5.2: A/BO Response Rate

Control 5.2 identifies transactions flagged in DM that are not closed by the A/BO within 16 business days of the case creation date. There are two types of exceptions reported by this control:

- Cases that were created within the past 3 cycles and closed in the current cycle after more than 16 business days (between case create and case close date).
- Cases that were created within the past 3 cycles that were not closed as of the cycle end date, excluding those that are in Legacy status or were created within 16 business days of the end of cycle.

# Risk Assessment Dashboard (RAD) – Con

## ➢ Control 5.3: A/OPC Response Rate

Control 5.3 This control identifies an A/OPC failure to perform an independent review of a high risk transaction within sixteen business days of A/BO review. There are two types of exceptions reported by this control:

- Cases that were created within the past 3 cycles and closed in the current cycle after more than 16 business days (between case create and case close date).
- Cases that were created within the past 3 cycles that were not closed as of the cycle end date, excluding those that are in Legacy status or were created within 16 business days of the end of cycle.

## ➢ Control 5.4: Flagged Transaction Determination

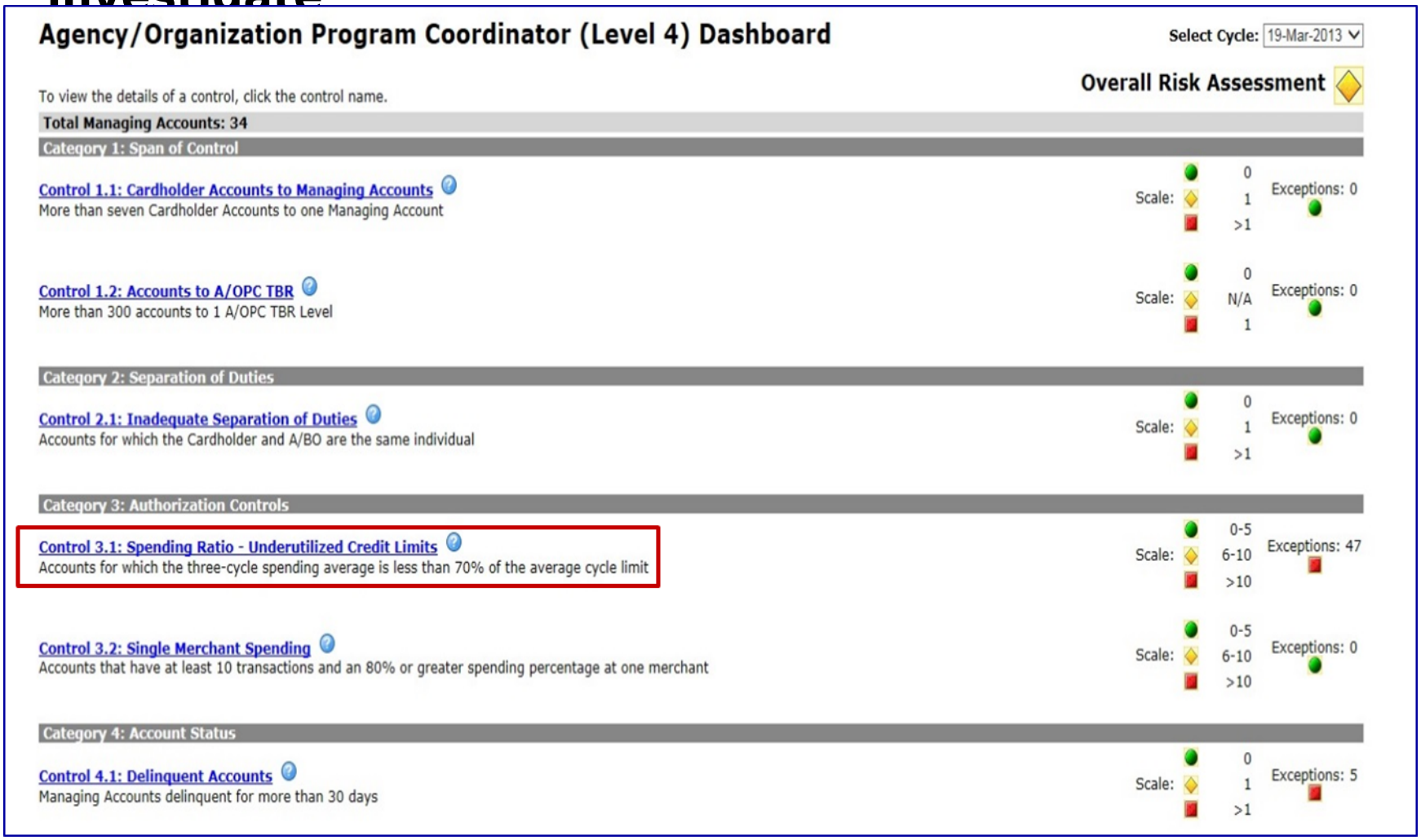
Control 5.3 identifies transactions with a DM case disposition other than Valid or Contract Payment. An exception is flagged for each transaction with a disposition other than Valid or Contract Payment. This only includes cases that were closed during the cycle.

## ➢ Control 5.5: Convenience Check Amounts

Control 5.5 identifies Convenience Check transactions greater than $3,500. An exception is flagged for each Convenience Check that is

# RAD Drill Down Example – Control 3.1

- **Drill down by selecting the Control you wish to investigate**



## Agency/Organization Program Coordinator (Level 4) Dashboard

Select Cycle: 19-Mar-2013

To view the details of a control, click the control name.

Overall Risk Assessment

**Total Managing Accounts: 34**

**Category 1: Span of Control**

Control 1.1: Cardholder Accounts to Managing Accounts
More than seven Cardholder Accounts to one Managing Account
Scale: 0 / 1 / >1 — Exceptions: 0

Control 1.2: Accounts to A/OPC TBR
More than 300 accounts to 1 A/OPC TBR Level
Scale: 0 / N/A / 1 — Exceptions: 0

**Category 2: Separation of Duties**

Control 2.1: Inadequate Separation of Duties
Accounts for which the Cardholder and A/BO are the same individual
Scale: 0 / 1 / >1 — Exceptions: 0

**Category 3: Authorization Controls**

Control 3.1: Spending Ratio - Underutilized Credit Limits
Accounts for which the three-cycle spending average is less than 70% of the average cycle limit
Scale: 0-5 / 6-10 / >10 — Exceptions: 47

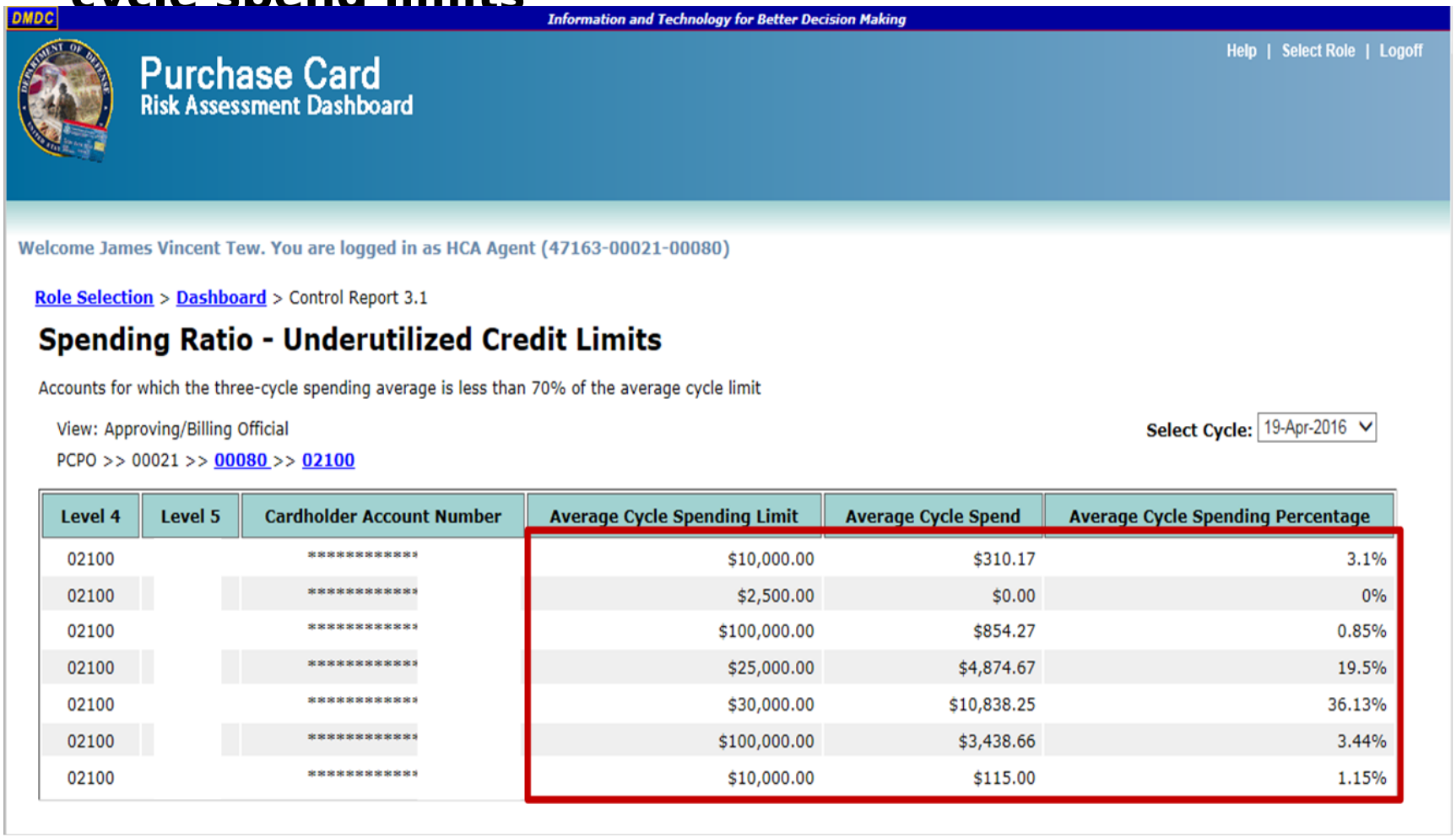
Control 3.2: Single Merchant Spending
Accounts that have at least 10 transactions and an 80% or greater spending percentage at one merchant
Scale: 0-5 / 6-10 / >10 — Exceptions: 0

**Category 4: Account Status**

Control 4.1: Delinquent Accounts
Managing Accounts delinquent for more than 30 days
Scale: 0 / 1 / >1 — Exceptions: 5

# RAD Drill Down Example – Control 3.1

- **Drill down view of each account with underutilized cycle spend limits**



DMDC

Information and Technology for Better Decision Making

Purchase Card
Risk Assessment Dashboard

Help | Select Role | Logoff

Welcome James Vincent Tew. You are logged in as HCA Agent (47163-00021-00080)

Role Selection > Dashboard > Control Report 3.1

## Spending Ratio - Underutilized Credit Limits

Accounts for which the three-cycle spending average is less than 70% of the average cycle limit

View: Approving/Billing Official

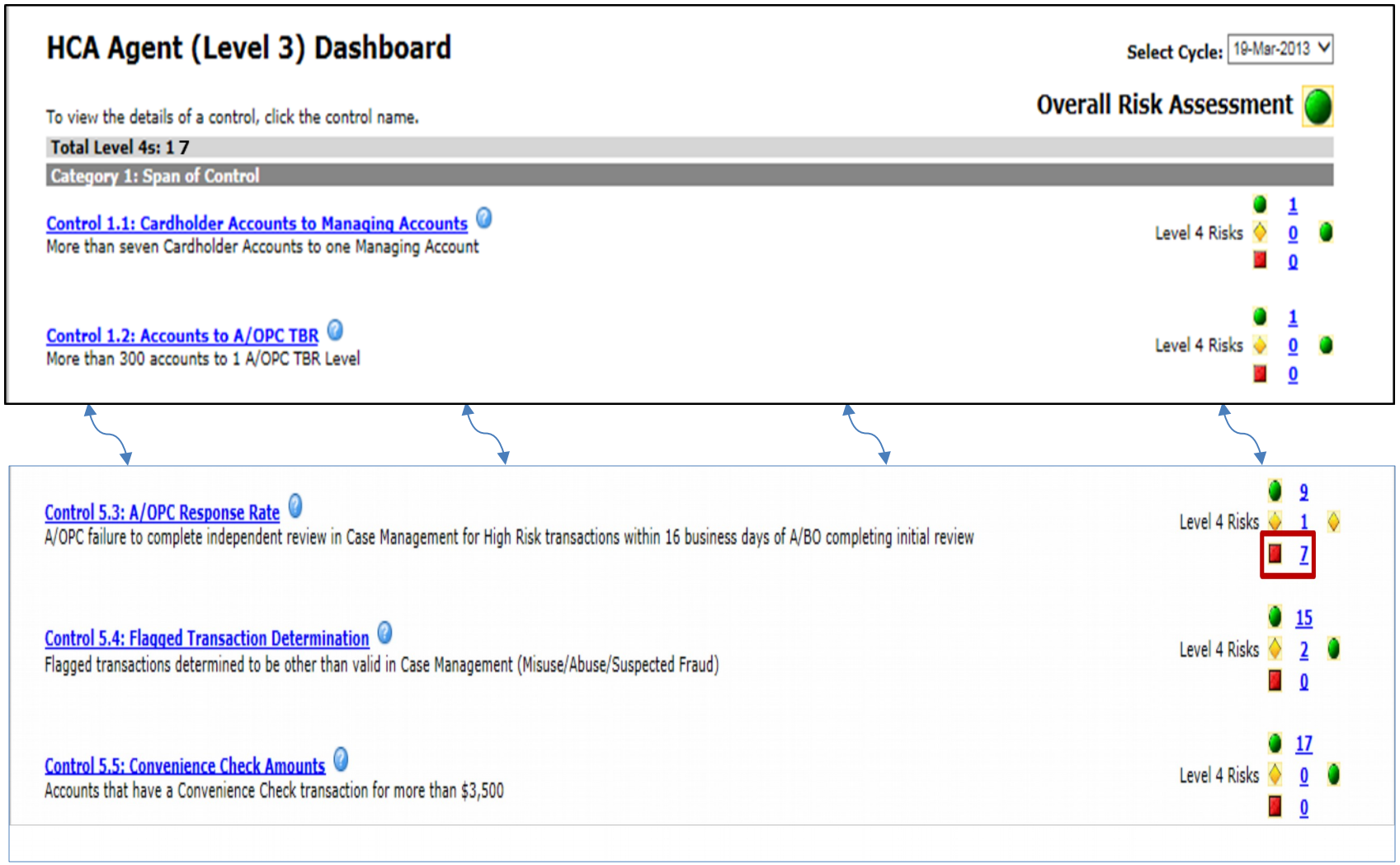
Select Cycle: 19-Apr-2016

PCPO >> 00021 >> 00080 >> 02100

| Level 4 | Level 5 | Cardholder Account Number | Average Cycle Spending Limit | Average Cycle Spend | Average Cycle Spending Percentage |
|---|---|---|---|---|---|
| 02100 | | ********** | $10,000.00 | $310.17 | 3.1% |
| 02100 | | ********** | $2,500.00 | $0.00 | 0% |
| 02100 | | ********** | $100,000.00 | $854.27 | 0.85% |
| 02100 | | ********** | $25,000.00 | $4,874.67 | 19.5% |
| 02100 | | ********** | $30,000.00 | $10,838.25 | 36.13% |
| 02100 | | ********** | $100,000.00 | $3,438.66 | 3.44% |
| 02100 | | ********** | $10,000.00 | $115.00 | 1.15% |

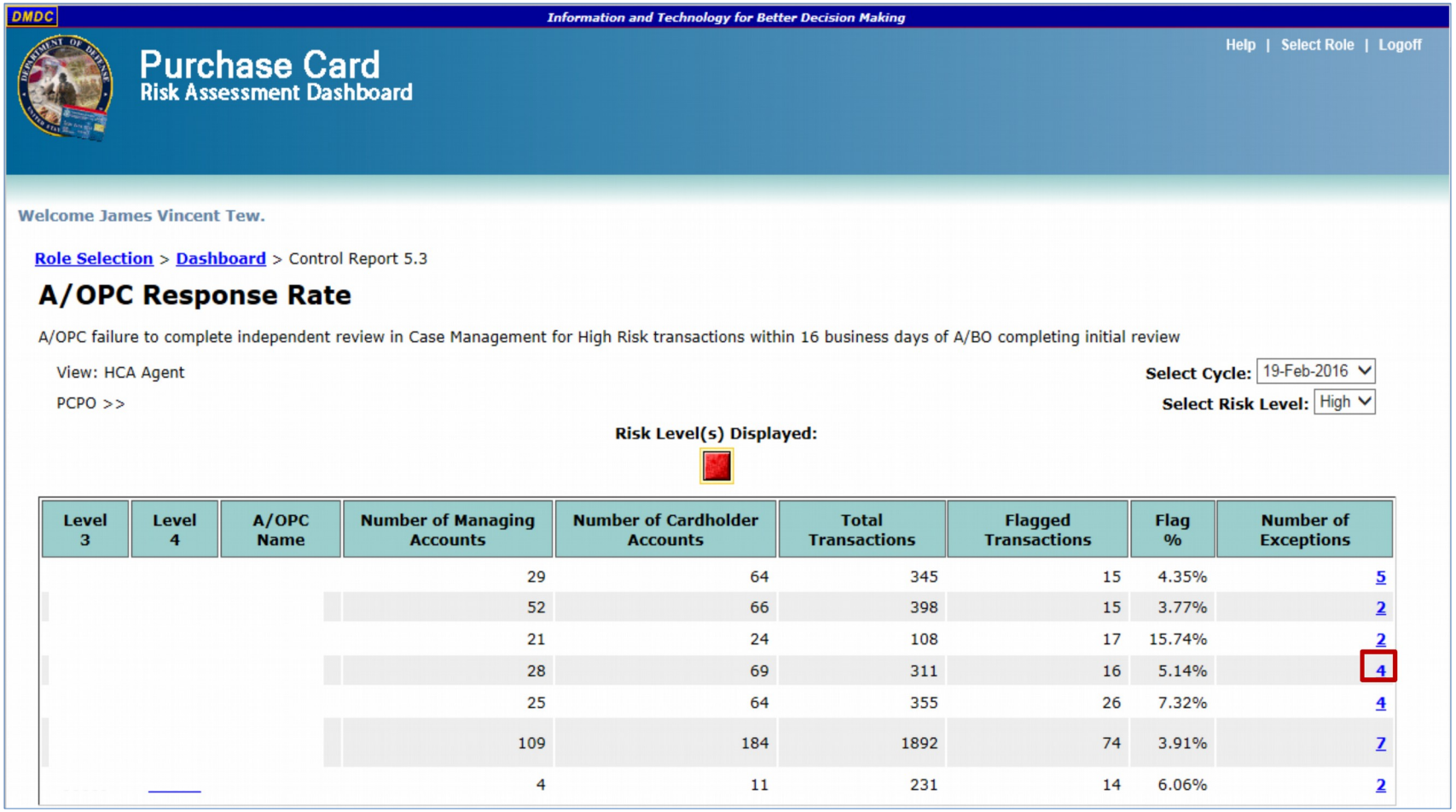
# RAD Drill Down Example – Control 5.3

- **Drill down options include selecting the actual control 5.3 or selecting the exception numbers in**


HCA Agent (Level 3) Dashboard
Select Cycle: 19-Mar-2013
Overall Risk Assessment
To view the details of a control, click the control name.
Total Level 4s: 1 7
Category 1: Span of Control
Control 1.1: Cardholder Accounts to Managing Accounts
More than seven Cardholder Accounts to one Managing Account
Level 4 Risks 1 0 0
Control 1.2: Accounts to A/OPC TBR
More than 300 accounts to 1 A/OPC TBR Level
Level 4 Risks 1 0 0
Control 5.3: A/OPC Response Rate
A/OPC failure to complete independent review in Case Management for High Risk transactions within 16 business days of A/BO completing initial review
Level 4 Risks 9 1 7
Control 5.4: Flagged Transaction Determination
Flagged transactions determined to be other than valid in Case Management (Misuse/Abuse/Suspected Fraud)
Level 4 Risks 15 2 0
Control 5.5: Convenience Check Amounts
Accounts that have a Convenience Check transaction for more than $3,500
Level 4 Risks 17 0 0

# RAD Drill Down Example – Control 5.3

- **Select "Number of Exceptions" to drill down further to transactions**



DMDC — Information and Technology for Better Decision Making

Purchase Card
Risk Assessment Dashboard

Help | Select Role | Logoff

Welcome James Vincent Tew.

Role Selection > Dashboard > Control Report 5.3

## A/OPC Response Rate

A/OPC failure to complete independent review in Case Management for High Risk transactions within 16 business days of A/BO completing initial review

View: HCA Agent

PCPO >>

Select Cycle: 19-Feb-2016

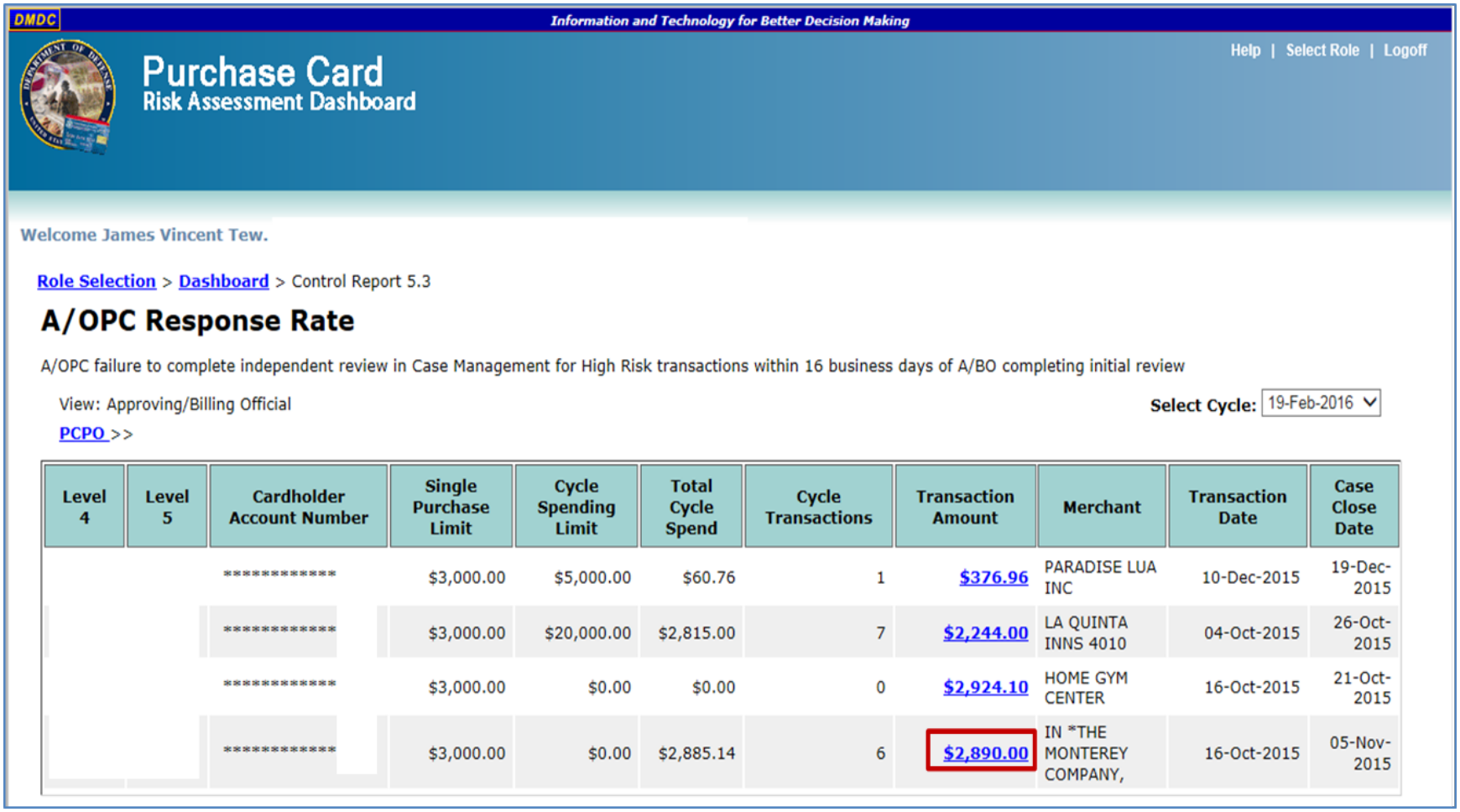
Select Risk Level: High

Risk Level(s) Displayed:

| Level 3 | Level 4 | A/OPC Name | Number of Managing Accounts | Number of Cardholder Accounts | Total Transactions | Flagged Transactions | Flag % | Number of Exceptions |
|---|---|---|---|---|---|---|---|---|
| | | | 29 | 64 | 345 | 15 | 4.35% | 5 |
| | | | 52 | 66 | 398 | 15 | 3.77% | 2 |
| | | | 21 | 24 | 108 | 17 | 15.74% | 2 |
| | | | 28 | 69 | 311 | 16 | 5.14% | 4 |
| | | | 25 | 64 | 355 | 26 | 7.32% | 4 |
| | | | 109 | 184 | 1892 | 74 | 3.91% | 7 |
| | | | 4 | 11 | 231 | 14 | 6.06% | 2 |

# RAD Drill Down Example – Control 5.3

- **Select "Transaction Amount" to continue drill down on specifics of the case from Data Mining**



DMDC

*Information and Technology for Better Decision Making*

Purchase Card
Risk Assessment Dashboard

Help | Select Role | Logoff

Welcome James Vincent Tew.

Role Selection > Dashboard > Control Report 5.3

## A/OPC Response Rate

A/OPC failure to complete independent review in Case Management for High Risk transactions within 16 business days of A/BO completing initial review

View: Approving/Billing Official

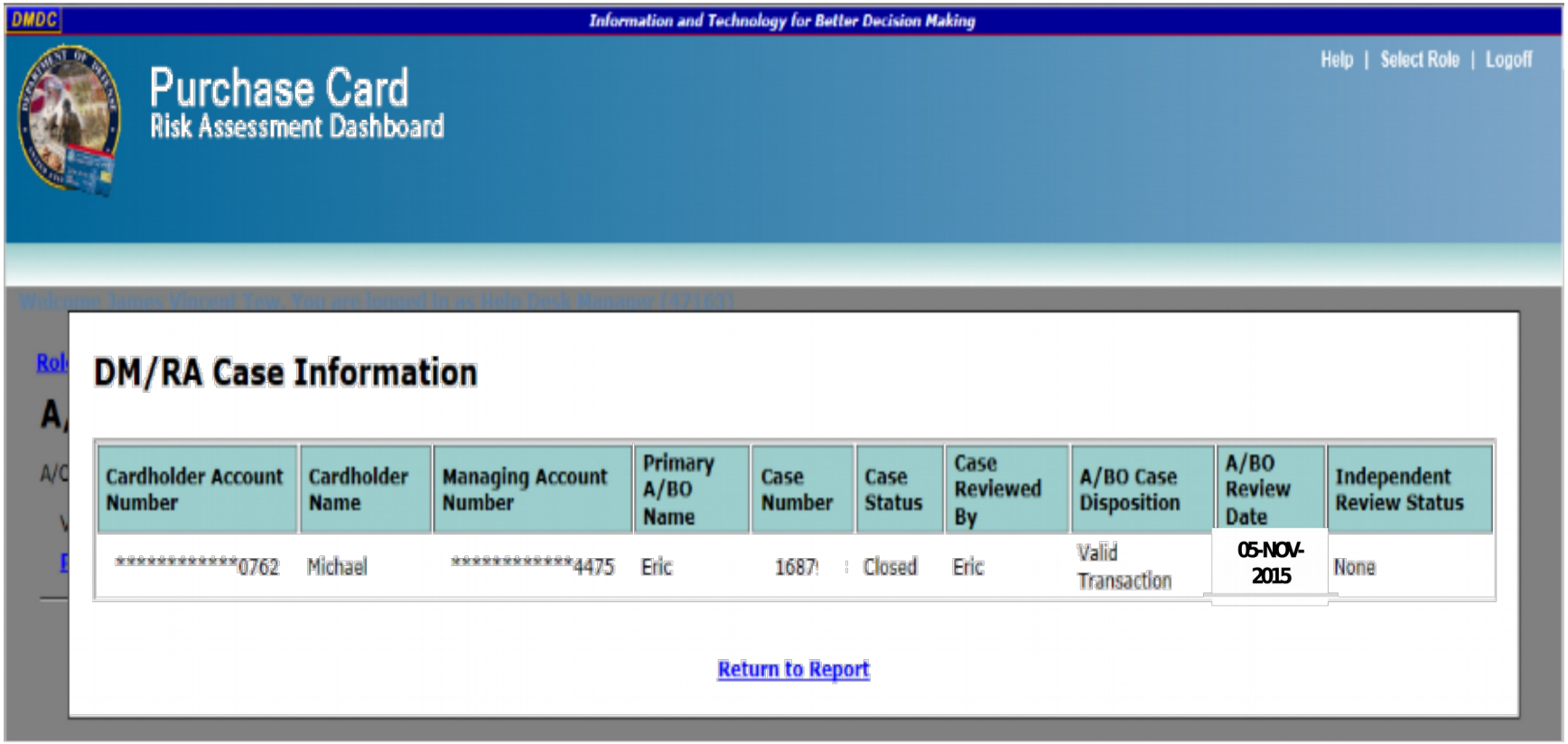
Select Cycle: 19-Feb-2016

PCPO >>

| Level 4 | Level 5 | Cardholder Account Number | Single Purchase Limit | Cycle Spending Limit | Total Cycle Spend | Cycle Transactions | Transaction Amount | Merchant | Transaction Date | Case Close Date |
|---|---|---|---|---|---|---|---|---|---|---|
| | | ********** | $3,000.00 | $5,000.00 | $60.76 | 1 | $376.96 | PARADISE LUA INC | 10-Dec-2015 | 19-Dec-2015 |
| | | ********** | $3,000.00 | $20,000.00 | $2,815.00 | 7 | $2,244.00 | LA QUINTA INNS 4010 | 04-Oct-2015 | 26-Oct-2015 |
| | | ********** | $3,000.00 | $0.00 | $0.00 | 0 | $2,924.10 | HOME GYM CENTER | 16-Oct-2015 | 21-Oct-2015 |
| | | ********** | $3,000.00 | $0.00 | $2,885.14 | 6 | $2,890.00 | IN *THE MONTEREY COMPANY, | 16-Oct-2015 | 05-Nov-2015 |

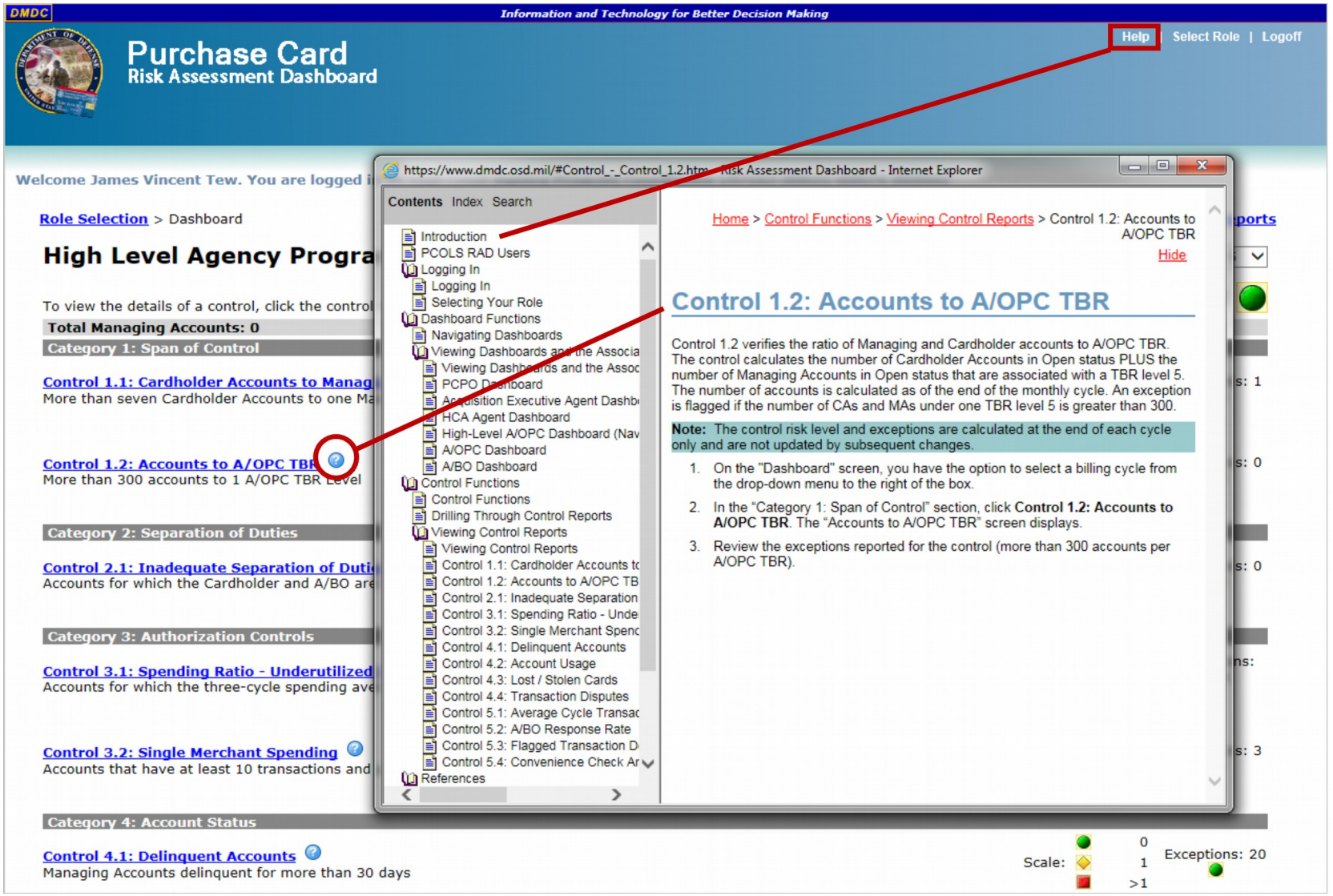
# RAD Drill Down Example – Control 5.3

- **Specific case information is displayed**



# PCOLS RISK ASSESSMENT DASHBOARD – HELP FEATURE



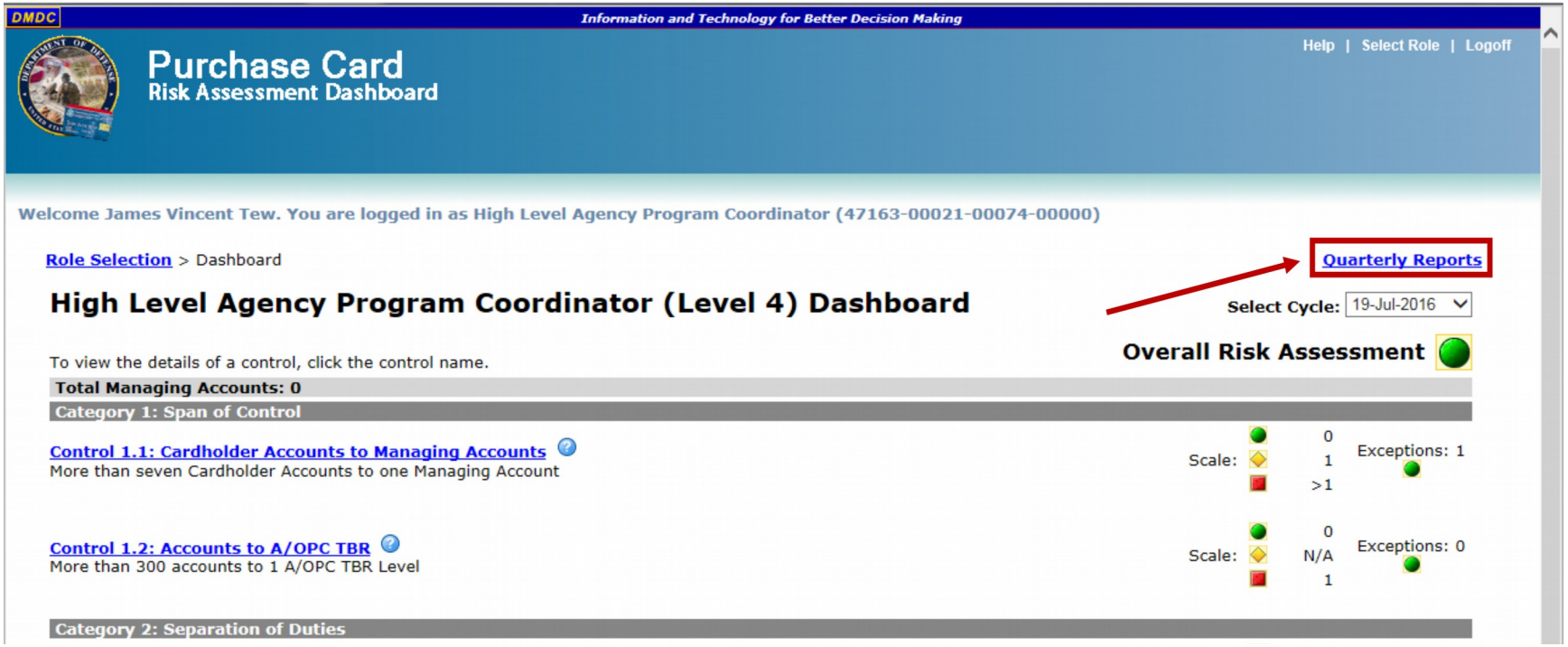

DMDC
Information and Technology for Better Decision Making
Purchase Card
Risk Assessment Dashboard
Help
Select Role | Logoff
Welcome James Vincent Tew. You are logged i
Role Selection > Dashboard
High Level Agency Progra
To view the details of a control, click the control
Total Managing Accounts: 0
Category 1: Span of Control
Control 1.1: Cardholder Accounts to Manag
More than seven Cardholder Accounts to one Ma
Control 1.2: Accounts to A/OPC TBR
More than 300 accounts to 1 A/OPC TBR Level
Category 2: Separation of Duties
Control 2.1: Inadequate Separation of Duti
Accounts for which the Cardholder and A/BO are
Category 3: Authorization Controls
Control 3.1: Spending Ratio - Underutilized
Accounts for which the three-cycle spending ave
Control 3.2: Single Merchant Spending
Accounts that have at least 10 transactions and
Category 4: Account Status
Control 4.1: Delinquent Accounts
Managing Accounts delinquent for more than 30 days
Scale:
0
1
>1
Exceptions: 20
https://www.dmdc.osd.mil/#Control_-_Control_1.2.htm - Risk Assessment Dashboard - Internet Explorer
Contents Index Search
Introduction
PCOLS RAD Users
Logging In
Logging In
Selecting Your Role
Dashboard Functions
Navigating Dashboards
Viewing Dashboards and the Associa
Viewing Dashboards and the Assoc
PCPO Dashboard
Acquisition Executive Agent Dashb
HCA Agent Dashboard
High-Level A/OPC Dashboard (Nav
A/OPC Dashboard
A/BO Dashboard
Control Functions
Control Functions
Drilling Through Control Reports
Viewing Control Reports
Viewing Control Reports
Control 1.1: Cardholder Accounts tc
Control 1.2: Accounts to A/OPC TB
Control 2.1: Inadequate Separation
Control 3.1: Spending Ratio - Unde
Control 3.2: Single Merchant Spenc
Control 4.1: Delinquent Accounts
Control 4.2: Account Usage
Control 4.3: Lost / Stolen Cards
Control 4.4: Transaction Disputes
Control 5.1: Average Cycle Transac
Control 5.2: A/BO Response Rate
Control 5.3: Flagged Transaction D
Control 5.4: Convenience Check Ar
References
Home > Control Functions > Viewing Control Reports > Control 1.2: Accounts to A/OPC TBR
Hide
Control 1.2: Accounts to A/OPC TBR
Control 1.2 verifies the ratio of Managing and Cardholder accounts to A/OPC TBR. The control calculates the number of Cardholder Accounts in Open status PLUS the number of Managing Accounts in Open status that are associated with a TBR level 5. The number of accounts is calculated as of the end of the monthly cycle. An exception is flagged if the number of CAs and MAs under one TBR level 5 is greater than 300.
Note: The control risk level and exceptions are calculated at the end of each cycle only and are not updated by subsequent changes.
1. On the "Dashboard" screen, you have the option to select a billing cycle from the drop-down menu to the right of the box.
2. In the "Category 1: Span of Control" section, click Control 1.2: Accounts to A/OPC TBR. The "Accounts to A/OPC TBR" screen displays.
3. Review the exceptions reported for the control (more than 300 accounts per A/OPC TBR).

# RAD - Quarterly Reports

- **Provide a three-cycle side-by-side snapshot of the exceptions under each control.**
- **Enable users to analyze progress of their purchase card program to address identified risks for the current quarter based on exception counts for the previous quarter.**
- **Are broken down into the five control categories.**
  - Each category is presented as a table and displays a column for each control in the category and exception counts for the three report billing cycles

# RAD - Quarterly Reports

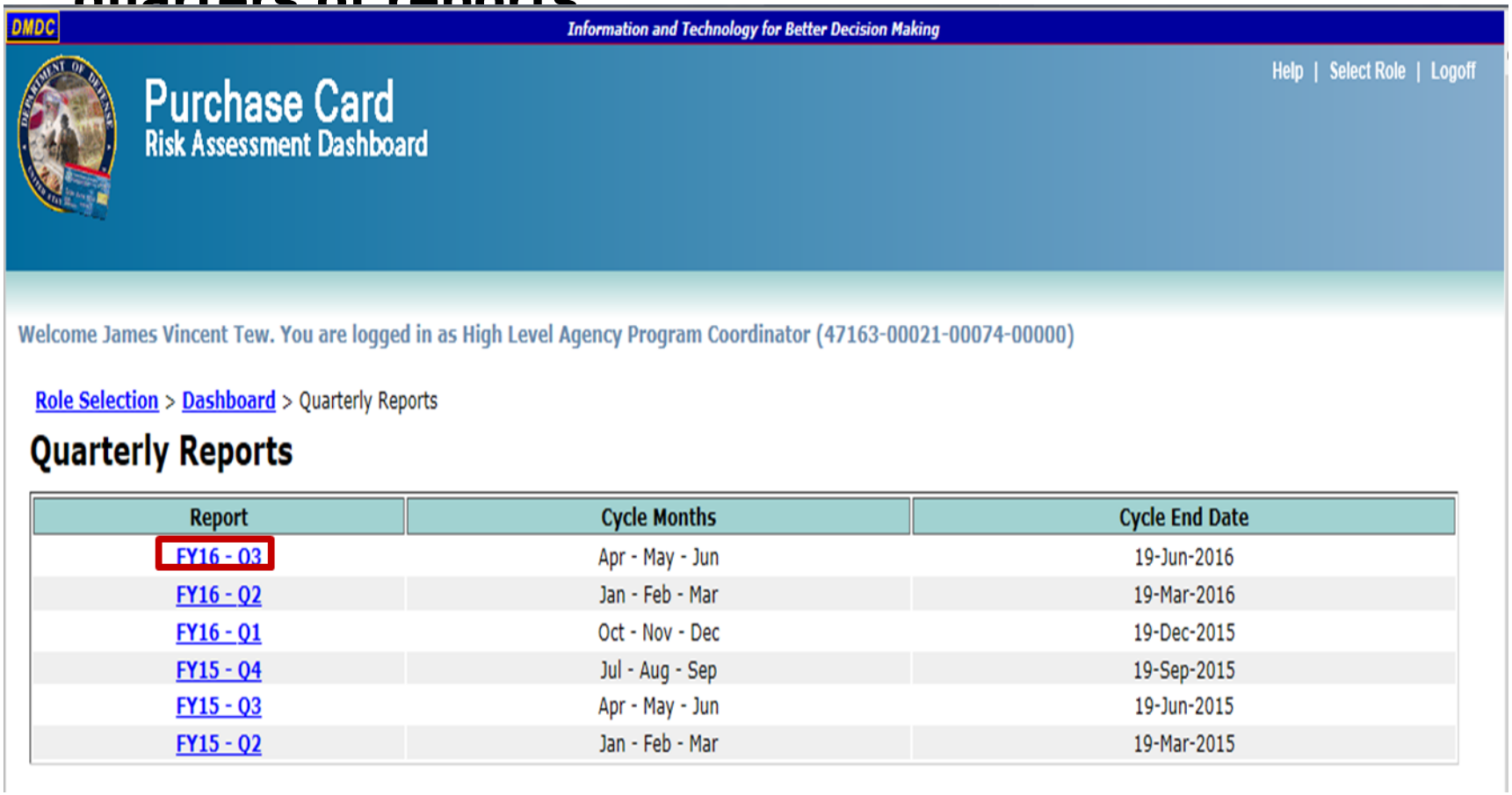
- **The Quarterly Report link is in the upper right hand corner of the dashboard**


DMDC
Information and Technology for Better Decision Making
Purchase Card
Risk Assessment Dashboard
Help | Select Role | Logoff
Welcome James Vincent Tew. You are logged in as High Level Agency Program Coordinator (47163-00021-00074-00000)
Role Selection > Dashboard
Quarterly Reports
High Level Agency Program Coordinator (Level 4) Dashboard
Select Cycle: 19-Jul-2016
To view the details of a control, click the control name.
Overall Risk Assessment
Total Managing Accounts: 0
Category 1: Span of Control
Control 1.1: Cardholder Accounts to Managing Accounts
More than seven Cardholder Accounts to one Managing Account
Scale: 0 1 >1
Exceptions: 1
Control 1.2: Accounts to A/OPC TBR
More than 300 accounts to 1 A/OPC TBR Level
Scale: 0 N/A 1
Exceptions: 0
Category 2: Separation of Duties

- **At the end of the quarter when the report is available for viewing, the AEA Agent, HCA Agent and A/OPC Users will receive a notification email containing a direct URL link.**

# RAD - Quarterly Reports

- **The list of available Quarterly Reports displays 6 quarters of reports**



# RAD - Quarterly Reports

- **The Quarterly Report displays all five control categories**

## PCOLS RAD Quarterly Report

**Date Range:** FY16 - Q3

**Hierarchy:** 47163-00021-00074

### 1. Span of Control

1.1. Cardholder Accounts to Managing Accounts

| Organization TBR | Number of Exceptions | | |
|---|---|---|---|
| | Apr | May | Jun |
| 00002 | 1 | 1 | 1 |
| 00742 | 0 | 0 | 0 |
| 00743 | 0 | 0 | 0 |
| 00744 | 0 | 0 | 0 |
| 00745 | 0 | 0 | 0 |
| 00763 | 0 | 0 | 0 |

# HELP DESK CONTACT INFO



- **Help Desk concerns or complex requests**
  - Jim Tew, james.tew@dla.mil and 269-961-4761
  - LaKeisha Gill, lakeisha.gill@dla.mil and 269-961-4663
  - Ginger Tejada, ginger.tejada@dla.mil and 801-586-0306

- **PCOLS Help Desk (Operation Hours: 24x7)**
  - Phone: 800-376-7783,com 269-961-7307 or DSN 661-7307
  - Email: dlacontactcenter@dla.mil

- **PCOLS Website at DAU Acquisition Community Connection**
  - Web address - *https://acc.dau.mil/pcols*
  - Content - System User Manuals, Release Notices, Enhancement Request Forms,

# Questions